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ABSTRACT

The instructor-free, empirically-based training package focuses on planning for a program or total agency for severely handicapped, developmentally disabled persons and is intended to assist agencies develop a participatory management system for ongoing program planning and evaluation within the trainee's agency. The package consists of a trainee workbook which includes basic information on program planning and evaluation, individual practice sessions, and group exercises. The following 10 training sessions are outlined: competency generalization through instructor-free training; an ideology for human services; a survey of management theory and style; a conceptual model for program planning and evaluation; guidelines for effective decision making and strategy implementation; budgeting; evaluation: an integral part of program planning; funding and grantsmanship; synthesizing and using your training; a model for community planning. (BD)

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PROGRAM PLANNING AND EVALUATION IN COMMUNITY-BASED AGENCIES

Instructor-Free Training for Participatory Management Teams

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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Contents

Contributors vii

Acknowledgments ix

1 **Generalizing Competencies Through Instructor-Free Training** 1.1
Jerry D. Parham, Pamela A. Bernanke, and Linda D. Baucom
Individual Preparation 1.9
Practical Applications for the Management Team 1.11

2 **An Ideology for Human Services** 2.1
Philip Roos
Individual Preparation 2.9
Practical Applications for the Management Team 2.11

3 **A Survey of Management Theory and Style** 3.1
William G. Hills
Individual Preparation 3.13
Practical Applications for the Management Team 3.17

4 **A Conceptual Model for Program Planning and Evaluation** 4.1
Pamela A. Bernanke and Jerry D. Parham
Individual Preparation 4.13
Practical Applications for the Management Team 4.17

5 **Guidelines for Effective Decision Making and Strategy Implementation** 5.1
J. Duane Hoover and Dean K. Koonce
Individual Preparation 5.11
Practical Applications for the Management Team 5.17

PPE

6 **Budgeting** 6.1
Daryl B. Dorcy
Individual Preparation 6.15
Practical Applications for the Management Team 6.17

7 **Evaluation: An Integral Part of Program Planning** 7.1
Jerry D. Parham and Pamela A. Bernanke
Individual Preparation 7.13
Practical Applications for the Management Team 7.17

8 **Funding and Grantsmanship** 8.1
G. F. England
Individual Preparation 8.11
Practical Applications for the Management Team 8.15

9 **Synthesizing and Using Your Training** 9.1
Jerry D. Parham, Linda D. Baucom, and Pamela A. Bernanke
Individual Preparation 9.5
Practical Applications for the Management Team 9.9

10 **A Model for Community Planning** 10.1
Dan W. Davis, James J. Gallagher, and Glenn Wilson
Practical Applications for the Management Team 10.11

Appendixes

Legislation, Litigation, and Accreditation Mandates for Evaluation A.1
Outline of a Comprehensive Program Evaluation Model B.1
Instructions for Evaluators in Role-Play Situations C.1
Resources for Grant Writers D.1
Commonly Used Abbreviations and Acronyms E.1

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Session 1

Generalizing Competencies Through Instructor-Free Training

Training Goals 1.2
Training Content 1.2
Training Teams 1.3
Training Procedures 1.4
Group Responsibilities 1.5
Coordinator Responsibilities 1.5
Individual Responsibilities 1.6
Reference 1.7
Individual Preparation 1.9
Practical Applications for the Management Team 1.11
Things to Do Before the Next Group Meeting 1.15

Legislation, litigation, and accreditation standards have mandated the need for proactive agency program planning and accountability in human service agencies. But real progress toward this goal has been slowed by the fact that those who are responsible for developing these plans have been promoted up from the practitioner ranks and have received little or no training for their new role as administrators. In this chapter, participants are introduced to the concept of learning basic program planning skills through the use of the participatory management team as a training group. Emphasis is on group and individual responsibilities in this type of instructor-free training.

In this session you will:

1. Organize a management team;
2. Select a coordinator for each training session;
3. Develop group policies;
4. Set group expectations about the training.

Generalizing Competencies Through Instructor-Free Training

Jerry D. Parham
Pamela A. Bernanke
Linda D. Baucom

During the past three decades, the demand for services for developmentally disabled individuals has increased manyfold. Even the types of services considered necessary and the definition of the target population itself have undergone substantial changes. This constant, almost explosive expansion and redefinition process has brought with it a tendency toward short-range planning and temporary problem solving. Only rarely are ongoing activities within an agency based on the development and utilization of well-defined goals. Rarer still are preplanned, structured evaluations of a program's efficiency and effectiveness.

In the face of recent demands for accountability, both from consumers and from funding sources, the development of coherent program planning and evaluation procedures has taken on increased significance. As Spaniol (1977) notes, the expansion of human service programs during the 1950s and 1960s has given way to accountability and reassessment in the 1970s. "There has been a noticeable fiscal restraint among funding sources, a continuing skepticism about the effects of social service interventions, and a valid demand for stronger justification of what programs are doing" (p. 4).

The fact that nebulous program descriptors and numerical summations of persons served are no longer adequate is evident in the Rehabilitation Act of 1973 (Public Law 93-112), which requires Individual Written Rehabilitation Plans, and in the 1975 Developmentally Disabled Assistance and Bill of Rights Act (PL 94-103), which requires the creation of statewide evaluation systems to monitor services for developmentally disabled individuals. Recent litigation and accreditation standards are also forcing agencies to be accountable, both for the services they provide and for the way in which they provide them.

Real progress in developing a proactive, comprehensive program planning and evaluation approach has been slowed by the fact that many administrators and management personnel in human service facilities have never received formal training for their role. Most were trained and worked as clinicians, therapists, teachers, or other types of professional service providers and, after serving as successful practitioners, were promoted up the line and into managerial roles. Given their minimal preparation for this substantive shift in duties, it is amazing that they function as well as they do. The only way in which the authors can account for this is the fact that competency has a way of generalizing. That is, when a person is competent in one area, he or she may become competent in an entirely different area if it becomes necessary.

Training Goals

While this training package is not designed to act as an alchemist, it is intended to be a catalyst in this generalization of competencies by providing background information and training in the specific skills necessary for the transition from direct care to administrative staff. The primary goals of this training are:

1. To consider philosophical questions which bear upon the administrator's approach to developmentally disabled clients and to the services they require;
2. To present the basic principles of management and to serve as a vehicle for developing a participatory management system within each facility;
3. To offer a conceptual model within which sound, realistic program planning, and thus evaluation, can take place;
4. To provide information in areas that directly affect administrators, such as decision making, budgeting, grantsmanship, and communitywide planning;
5. To provide an opportunity to utilize, in a group setting, the information contained in these materials.

Training Content

A review of the 10 sessions contained in this training package follows.

Session 1
Generalizing Competencies Through Instructor-Free Training. The target audience is described and an explanation of the increased emphasis on program planning and evaluation (PP&E) is given. The training materials and technology of this package as well as responsibilities of participants are discussed.

Session 2
An Ideology for Human Services. Accountability and the right to services are the primary focuses of this chapter. The developmental model; the principles of normalization, individualization, and self-actualization; sources of consumer dissatisfaction; recent legal actions; and trends in education, residential services, and consumer organizations are discussed.

Session 3
A Survey of Management Theory and Style. The classical, management science, and human behavior theories of management are discussed. Descriptions of various managerial styles, as well as information about authority, motivation, and organizational structure, are included.

Session 4
A Conceptual Model for Program Planning and Evaluation. A conceptual model for program planning—which includes goals, objectives, strategies, and evaluation—is set forth in detail, and an explanation of how this system can interface with an individual program planning system is given.

Session 5
Guidelines for Effective Decision Making and Strategy Implementation. This chapter focuses on a nine-step model for making decisions and for implementing the strategies that result. Practical information on delegation, communication, and time management also is included.

Session 6
Budgeting. Purposes and types of budgets, factors to consider in developing a budget, and approaches to both internal and external review are discussed. Guidelines for implementation and management control of the approved budget also are given.

Session 7
Evaluation: An Integral Part of Program Planning. Emphasis is on evaluation as an integral part of the program plan, a vital management function, and a valuable tool in day-to-day decision making. Process and product evaluation, as well as the importance of establishing a system flexible enough to answer both internal and external requests for information, are discussed.

Session 8
Funding and Grantsmanship. The advantages of grants versus contracts and federal versus foundation and corporation monies are outlined. A formula for determining when different types of money will be available and other suggestions for locating potential funding sources are described. Tips on how to write a grant also are included.

Session 9
Synthesizing and Using Your Training. The management team is challenged to consider how to implement the principles learned in this training. Discussion of present and future program plans is encouraged and the future role, if any, of the management team is explored.

Session 10
A Model for Community Planning. Strategies for developing integrated service delivery systems are discussed. Emphasis is on the role of the agency program planner and the formation of a "neutral group" composed of representatives from different segments of the community.

Note that the timing of this final session is optional. You may take it at the time you complete the rest of the training, or you may choose to take it after you have had a chance to utilize the principles set forth in this training to develop and implement a program planning and evaluation system. You will be given a chance at the end of Session 9 to consider these alternatives.

Training Teams

Because the most productive administrative decisions are rarely made in isolation, and because one of the best ways to remember new principles and procedures is through discussion with others, this training is designed to be taken by a management team. It is possible for everyone to share ideas in teams of up to seven people, but a group of four or five is ideal. And, although management teams usually change from project to project and over time, it is important that the team, once selected, stay intact throughout the training.

Teams should consist of administrators within a single agency, preferably those who frequently work together closely on projects. If your agency is small, your team might consist of the executive director and other senior staff who are frequently involved in the decision-making process. If your agency is large and has administrative staff ranging from the executive director and top level managers to direct service managers, you may need to form several teams for the purposes of this training. Again, each team should be composed of persons with similar responsibilities who have frequent contact with

one another while working on the same or joint projects. Sometimes, however, an administrator may be a legitimate member of both an upper and a lower level management team. In that case, it would probably be most beneficial to take the training in the higher level team, although in certain circumstances (e.g., poor communication between the administrator and the lower level team) taking the training with the lower level team might be most worthwhile.

If several groups within an agency are participating in the training, it is wise to have them start at the same time and proceed at the same pace. In that way, it is possible to begin the training with a general meeting for introducing the materials and to conclude with a session for dealing with any persistent questions which arose during training. Thus, each group will be on its own during the training but will have an opportunity to interact with the other groups after the training is complete. The post-training meeting also can be used to establish guidelines for utilization of the principles learned during training.

Training Procedures

Each of the 10 sessions in this training package consists of written information, an individual preparation section, and practical applications for the management team. Each aspect of the training is equally essential and it is important that no section be slighted. Team members should read each chapter carefully and then complete the individual preparation section that follows it before meeting together with the group to work through the practical applications. Team members who have not read the chapter and completed the individual work will find it difficult to participate effectively in the group sessions and thus will not benefit fully from the training experience. In addition to providing an opportunity to apply the concepts presented in the chapters, the group exercises help establish new working relationships for subsequent program planning or strengthen already existing ones.

Although the length of time will vary from one session to another as well as from one group to another, participants should expect to spend approximately three hours on each of the 10 sessions; generally, it will take about an hour to read the chapter carefully, 30 minutes to complete the individual work, and a maximum of an hour and a half for the group meeting. These are generous time estimates, but it is extremely important to allow yourself enough time to complete the reading as well as the individual and group exercises since assignments in later sessions build on work done in previous ones. In fact, by the time you complete Session 7 you will have developed at least four components of one portion of a comprehensive program plan for your agency or section.

Before proceeding through the materials, the group should decide on a fixed schedule for meeting. In order to keep the training running smoothly, but not so swiftly that staff won't have time to process the new information they're receiving, the group should meet at least once a week but no more often than every three days. A break of at least three days between sessions is needed to allow team members to read and absorb the information presented in the chapter and to complete the individual preparation section. However, if the break is longer than a week, participants will lose a feeling of continuity from one session to the next, and the entire 10-session training experience will be drawn out over an inordinately long period of time.

Group Responsibilities

1. Group members are equals in instructor-free training; each participates actively in trying to understand the materials and in helping others in the group to understand them. Since there is no instructor to tell you whether what you are doing is "right" or "wrong," you must depend on yourselves for feedback. Most of the exercises that you will be asked to complete are followed by instructions for self-critique, which usually direct you, as a group, to consider your answers in light of the guidelines given in this manual. Since there are several people in the group all checking for possible alternative responses, the chances are very good that your answers, after critiquing, will be correct.
2. Be aware of how your group is functioning. If the training is proceeding too rapidly for some members, the group should discuss a means of moving at a pace that is acceptable to everyone. If all group members have not been involved in the exercises, the group should explore ways to make everyone feel comfortable about participating. Remember, the way in which your group functions during training sets a precedent for the way in which your team will function when training is complete.
3. Follow the training in the sequence in which it is presented and do all the assignments so that you will have an opportunity to apply the principles presented in the chapter. Remember, individual and group work in later sessions builds on work assigned in previous sessions.
4. Set group policies regarding attendance, late arrivals, interruptions, and failure to do assignments. Once the group has begun the training, allowing outsiders or new members to join the group meetings is disruptive. Do not participate in any other group's meetings, and do not permit any newcomers to join your team meetings. Try to prevent problems, but handle them positively when they occur. For example, if someone must miss a scheduled session and notifies you ahead of time, try to reschedule the meeting. It is preferable that the group handle its own questions or policies regarding the training and work from a consensus basis.
5. During your first team meeting, the coordinator for that as well as the other sessions should be chosen. Each member of the team should have an opportunity to be the coordinator at least once.

Coordinator Responsibilities

As a manager, much of your time is spent in both formal and informal meetings with your co-workers. Running a meeting efficiently and effectively is an important skill that each member of your group will be given an opportunity to develop throughout this training. As mentioned in the previous section, your group should select different coordinators for various training sessions, allowing each person to be coordinator for one or more sessions. That person will have the following responsibilities:

1. Schedule a meeting room, preferably where there will be few interruptions.
2. Arrange to have a large blackboard or a large pad of paper and marker available for group exercises.
3. Read the practical applications section in detail in advance to get a clear idea about what group members are expected to accomplish and how long they can afford to spend on each task.

4. In many cases, the practical applications for one session will build on the group's work in previous sessions. Locate all information from previous exercises that is needed to complete the session you are coordinating. Copy the information into the practical applications section of your session if the directions specify that it should be transferred, and be prepared to direct the group in filling in any that is missing or modifying any that is incorrect.
5. Make sure group members understand which chapter and practical applications section they must read as well as what individual work they must complete in preparation for the meeting.
6. Make sure group members know the time and place of the meeting as well as how long it will last.
7. Get the meeting started on time.
8. Give a brief overview of the practical applications section and be sure everyone understands the objectives of the meeting.
9. Keep discussions on target without dominating them or allowing anyone else to. Facilitate discussion and group work by summarizing the group's comments periodically and by clearly but concisely explaining instructions for the group work as the meeting proceeds.
10. Keep the group within the time limits specified for each exercise.
11. Do any writing that is necessary as the group works through the practical applications, or ask another group member to write as you facilitate group discussion.
12. Make sure the meeting adjourns on time or is extended by agreement of the group.
13. At the conclusion of the meeting, brief the group on things to do before the next meeting. A list containing this information is provided at the end of each session.

In general, it is important for the coordinator to act as a facilitator in group meetings. By listening carefully to what group members have to say, by asking for clarification if members have not communicated, and by mediating any disagreements that might occur, the coordinator can make others feel comfortable about participating and keep the group on task. While the coordinator should feel free to participate during discussions and exercises, his or her primary responsibility is to insure that the meeting runs smoothly and productively.

Individual Responsibilities

1. As a member of a group engaged in self-instruction, your primary responsibility is to participate actively in all phases of the training. Share your ideas in the group discussions, participate as the group works on exercises, and take your turn as group coordinator. Each group member's ideas are valuable to the group as a whole.

   Your responsibility to participate also means that you must ask questions as you have them. Chances are that if you have a question, someone else in the group is wondering about the same thing. Do yourself and the group a favor by asking. If you don't, you risk getting even more confused as the training proceeds. Your input affects the entire group. Be open, honest, and sharing.
2. Be positive. When you are constructive in your comments, others will feel more comfortable about sharing their ideas. Concentrating your comments on the materials and the training package—rather than complaining about your agency, job,

or personality conflicts—is the most productive use of group time. Being constructive also encourages others to be positive toward you. They will want to hear what you have to say and seek out your opinions.

3. Be sensitive to other people in your group. While not all group members have the same background, training, experience, and status in the agency, approaching the training from the point of view that each person's opinions are to be valued equally will facilitate good group relations.
4. Attend each of the 10 sessions, be on time for the meetings, and don't permit interruptions.
5. Read the appropriate chapter, complete the individual preparation, and skim the applications section before each group session. These assignments will be the basis for discussion with your team members and will prepare you to complete the group exercises that follow each chapter.
6. Try to enjoy the training experience. While the nature of the training requires that you approach it seriously, learning should be fun. So relax and come to the training in good spirits. Frequently, important points can be remembered better when made with some humor.

Now that you have completed the first chapter, arrange to meet with your management team to work through the exercises. If you do not have a team, form one before proceeding any further. Even if your team consists of only two people, the resulting interchange of ideas and experience with group decision making will enable you to get far more from the training than is otherwise possible.

Reference

Spaniol, L. A program evaluation model for rehabilitation agencies and facilities. *Journal of Rehabilitation Administration*, 1977, *1*(3), 4-13. (Administration Studies Center, DePaul University, 25 East Jackson Boulevard, Chicago, IL 60604)

Individual Preparation

This is the first of 10 individual preparation sections which you will be asked to complete prior to group meetings throughout this training. Complete the exercises below in preparation for your first group meeting.

Training Expectations

Based on the information you now have about the content of these materials and the group process in which you will participate, decide what you would like to accomplish as a result of training. Think about how you will function as a member of the management team as well as specific skills you might acquire. Use the space below to write out your thoughts.

_____

_____

_____

_____

Practical Applications for the Management Team

Read over the practical applications section for this session so that you will have a better idea about what you'll be doing during the first group meeting. Since you'll be working through the section later as a group, do not actually complete any of the exercises on your own. Instead, make sure you understand the directions for each task and think about the things you would like to say concerning the topics the group will be asked to discuss.

The First Team Meeting

Record below the date, time, and location of the first group meeting.

Date _____ Time_____ Location_____

Practical Applications for the Management Team

Begin your initial group meeting here by having a group member read the next three paragraphs aloud.

This is the first of 10 sets of practical applications that you will be asked to complete as a group. In order to make each set of exercises more meaningful, you must read the appropriate chapter and do the individual work prior to meeting with your management team. At this point, each of you should have read the chapter and completed the individual work for this first session. You are now ready to work through the practical applications, which are relatively simple and may go a little faster than those in some of the later sessions; the main purpose of Session 1 is to help the group organize itself and establish some expectations rather than to relay a body of information as the later sessions do.

Fostering Group Participation

Group members are equals in this kind of training; each participates actively in trying to understand the materials and in helping other members of the group to understand them. Ideally, everyone should feel free to participate, even if the executive director or another top level administrator is a member of the team. But because team members are different, they may choose to participate in different ways. Some may feel more comfortable reading aloud, for example, while others may enjoy writing on the blackboard or contributing primarily during discussions. The most important thing is that group members work together and that every person be given the opportunity to participate in the way that suits him or her best.

1. *Approaching the materials.* Your first task is to decide whether you will work through the practical applications sections by reading aloud or silently. If the consensus is to read aloud, decide whether each group member will take a turn, whether you will depend on volunteers, or whether one person will do it. If you choose not to read the entire section aloud, the coordinator should read aloud the instructions printed in boldface and summarize the rest of the information in the practical applications in order to keep the group together and on track. Some of the exercises, such as this one, contain more than one step. When this occurs, read step 1, complete it, read and complete step 2, and so forth. The clock faces which appear throughout the practical applications will help you remember the suggested time

limits for each exercise. However, these limits are based on a total time of one hour for the group meeting. If you decide to allow more than an hour, you may exceed the time limits for exercises when you feel it's necessary.

Stop now and decide whether or not your group will read aloud. Take no more than five minutes.

2. *Choosing a coordinator.* Although the emphasis is on group participation, one person will be in charge of coordinating each group session. Each group member will have an opportunity to be the coordinator for at least one session. ***Stop now and select a coordinator for this session. Record that person's name below.*** Since this step can be done very quickly, the clock face at left indicates about a minute.

_____

3. *Reviewing the coordinator's responsibilities.* The coordinator you choose should direct the group's activities for the remainder of this session. At this time, take about five minutes to ***read and discuss the coordinator's responsibilities listed on pages 1.5-1.6. Use the space below to summarize any points of special interest to your group.***

_____

_____

_____

_____

_____

Organizing the Management Team

At this point you should be meeting together with your group for the first time for training purposes. In order to optimize your chances of benefiting from this training, your team should consist of:

At least two but no more than seven people;

Management personnel from the same agency (or, in small agencies an administrator and senior staff who are often involved in decision making);

Managers who frequently work together on the same or joint projects.

1. *Examining your team.* ***Discuss your team*** in light of the preceding criteria. If your organization is large enough to have more than one team, you also should refer to the guidelines on pages 1.3-1.4. Stop now and ***record below which, if any, of the criteria your team does not meet.*** Take about five minutes.

_____

_____

_____

2. *Reorganizing your team.* ***If your team meets the criteria just discussed, omit this step and proceed to step 3 of this exercise. If your team does not meet these requirements, however, you should reorganize it.*** If there are any current group members who would be more appropriate members of another team, allow them to change at this time. If there are any additional members you want to include in your group, list their names below. Locate them now if possible and ask them to join the meeting. Take no more than five minutes.

_____

_____

_____

3. *Recording the membership.* Following your discussion and any resulting reorganization, ***record below the names of the team members who will meet together throughout the remainder of the training.*** Once again, this is a brief step which should only take a minute.

_____

_____

_____

Developing a Training Schedule

Now that you have decided who is to be on your management team, ***establish a training schedule by specifying a date, time, location, and coordinator for each of the nine remaining group meetings.*** You should ***set a tentative schedule now for all nine sessions, even if you have to adjust it later.*** In this way, all group members can try to plan other activities around the group training sessions; however, the schedule can remain flexible enough to be changed if necessary. In general, you should ***meet at least once a week but no more often than every three days.*** You also should decide on the time of day and the location for each group meeting. Finally, keeping in mind that ***each person should have a chance to be the coordinator for at least one session,*** choose coordinators for the remaining sessions. It might be worthwhile to consider personal interests when deciding which sessions each individual will coordinate. Take about 10 minutes now to ***complete the training schedule below and on the next page.***

Session 2

Date _____ Time_____ Location _____ Coordinator _____

Session 3

Date _____ Time_____ Location _____ Coordinator _____

Session 4

Date _____ Time_____ Location_____ Coordinator_____

Session 5

Date _____ Time_____ Location_____ Coordinator_____

Session 6

Date _____ Time_____ Location_____ Coordinator_____

Session 7

Date _____ Time_____ Location_____ Coordinator_____

Session 8

Date _____ Time_____ Location_____ Coordinator_____

Session 9

Date _____ Time_____ Location_____ Coordinator_____

Session 10

Date _____ Time_____ Location_____ Coordinator_____

Developing Group Policies

In order to keep the training running smoothly, you, as a group, need to ***set policies concerning attendance, late arrivals, interruptions, and failure to complete assignments.*** Think positively rather than punitively. Take no more than 10 minutes and ***record the group consensus below.***

Attendance_____

_____

Late arrivals_____

_____

Interruptions_____

_____

Failure to complete assignments_____

_____

Other policies _____

_____

Setting Group Expectations

At the end of the chapter in this session you were asked to think individually about what you would like to accomplish as a result of this training. ***Keep your personal goals in mind as you discuss with other group members what you, as a management team, would like to accomplish.*** You may find it helpful for the coordinator or some other team member to ***write group members' suggestions on a blackboard or large pad of paper*** so that everyone can see them. Consider things that relate to group interaction as well as to specific program planning skills. ***Record below the ideas on which the group agrees.*** (Note paper is provided at the end of this manual for your use if you need additional writing space.) Take about 10 minutes.

_____

_____

_____

_____

_____

_____

Preparing for the Next Group Meeting

Before the meeting is adjourned, the coordinator should ***read aloud the following list*** which describes what team members need to do in preparation for the next group meeting.

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.13 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "An Ideology for Human Services."*
3. *In order to participate more effectively in the next group meeting, complete the individual preparation section which follows the chapter (pp. 2.9-2.10).*
4. *Review the practical applications (pp. 2.11-2.15). Once again, think about the topics you will be asked to discuss and make sure you understand the instructions for group work, rather than actually completing any of the group exercises on your own.*
5. *If you are the Session 2 coordinator, turn back to pages 1.5-1.6 to determine what additional responsibilities you may have.*

Session 2

An Ideology For Human Services

A New Ideology 2.1

Focuses of Dissatisfaction 2.2

Legal Rights 2.3
- Litigation 2.3
- Implementation of Court Decisions 2.4

Trends in Services 2.5
- Education 2.5
- Residential Programs 2.6
- Consumer Organizations 2.7

Conclusion 2.7

References 2.7

Individual Preparation 2.9

Practical Applications for the Management Team 2.11

Things to Do Before the Next Group Meeting 2.15

Ideology is to a human services program what a rudder is to a boat. It undergirds the organization and guides decision making, helping to keep the organization on course. Organizations commonly express their ideology in the form of a statement of philosophy or mission. A well-articulated ideology that is understood and supported by agency personnel strengthens the organization and forms a sound basis for program planning and evaluation.

In this session, four principles are explored which are exerting great influence on current human service ideology: the developmental model, normalization, individualization, and self-actualization. However, in spite of the increasing incorporation of these principles in programming for handicapped individuals, much dissatisfaction and frustration remain. Some of the reasons for this dissatisfaction are examined, and encouraging trends in services are described.

In this session you will:

1. Collect and examine mission statements from your agency;
2. Complete a style analysis entitled, "Supervisory Attitudes: The X-Y Scale" in preparation for the next session;
3. Role play a situation and discuss how your agency's mission statement does or should affect the actions of members of the management team.

An Ideology for Human Services

Philip Roos

Reminiscing about the past can be very pleasant. As you know, we recently celebrated the nation's bicentennial, and as we look back at the 200 years of our history as a nation, we can indeed be proud—proud of our heritage and proud of the basic principles upon which this nation was founded. These concepts include equity, individual dignity, justice and freedom for all, and mutual love, which underlies the prevailing religions of our society.

Yet those of us who work with developmentally disabled persons are painfully aware that many of these ideals are still unrealized 200 years after the founding of this nation. We know of continuing violations of basic human rights of thousands of our fellow citizens. We are bombarded with evidence of dehumanization, sterilization, human experimentation, and cruel and unusual punishment. These conditions continue to exist because they are predicated on the implicit assumption that there are degrees of humanness and that some of us are "fully human" while others are only "partly human" or "subhuman." Once this assumption is made, certain consequences follow. For example, resources are deployed along priorities based on degrees of humanness, so that in many cases, those who are "not fully human" do not have access to those services which are considered essential for the rest of us.

There also is a tendency to tolerate more drastic interventions for the "less than human" than for the "fully human." We might look askance at isolating the "fully human" in a secluded world for a prolonged period of time, but we tolerate this without hesitation for severely retarded persons. And even though we might object to tying a "fully human" individual in a spread-eagle position in a bed every night of his or her life, we tolerate this for the "less than human." A recent proposal in the Florida legislature claimed that some individuals are so "subhuman" that they may not deserve to be alive at all. Entitled "Death with Dignity," this piece of legislation (House Bill 407, State of Florida, 1973) proposed that by letting a large proportion of the state's institutionalized mentally retarded residents die, the state could save hundreds of thousands of dollars, and thereby reduce the tax burden. The bill was defeated in the House by a vote of 56 to 50.

A New Ideology

We are aware of these conditions, but we also are aware of an emerging ideology that has been inspiring the advocacy groups, the consumer groups, and the deliverers of

services to handicapped people. The four principles which seem to be exerting the greatest influence on this new ideology, and thus on the service delivery systems, are:

1. *Developmental model.* This model generates an optimistic orientation toward all individuals, regardless of type or degree of handicap. It assumes that each individual is capable of growth, development, and learning, and has the potential to progress through orderly developmental sequences from more to less restrictive alternatives and life situations.
2. *Normalization.* Many of you may have become so satiated with normalization that you develop a slight spasm of the stomach at the very mention of the term. There have been changes in the interpretation of normalization in recent years, including greater emphasis on normalizing the lives of such nonhandicapped individuals as the parents of developmentally disabled children. There is growing recognition that they too are human beings, that the presence of a profoundly or severely handicapped individual in the home may have a nonnormalizing influence on the family, and that the normalization of the total family unit needs to be considered.
3. *Individualization.* This refers to recognition of the uniqueness of each handicapped person and the need to individualize all services to best meet unique needs. The focus on individual program plans reflects the wide concern for this principle.
4. *Self-actualization.* This is the belief that every individual must be given the maximum opportunity to determine his or her own destiny. It is reflected in the development of alternatives among which persons with handicaps may choose.

These basic principles should be incorporated in all programming for individuals who are handicapped, regardless of where or by whom services are delivered. These principles are, in fact, being incorporated in national standards, court decisions, and even in the goals of most of the state agencies that deal with persons with handicaps. Still, there is much dissatisfaction and frustration for those who represent consumer organizations and, I suspect, for those who represent service delivery agencies as well.

Focuses of Dissatisfaction

One major area of dissatisfaction is the continuing exclusion of handicapped individuals from services, particularly generic services; persons with handicaps still face rejection and social isolation. Education is probably the most concrete and overpowering example of a situation in which these individuals continue to receive substandard services, to experience delays in gaining access to services, or to be totally excluded from appropriate services. A survey of the states conducted in 1974, for example, revealed that at that time only 40% of the mentally retarded school-aged children in this country had access to appropriate public education, despite the recent flurry of litigation and changes in state laws (Luckey & Neman, 1976). But exclusion is not limited to education. Those who are handicapped are systematically denied mental health, medical, and dental services; recreational facilities; transportation; and a wide range of other services. This is of particular importance in view of the goal of absorbing handicapped persons into the mainstream of society.

A second source of dissatisfaction relates to state institutions. In spite of the fact that state institutions have borne the brunt of criticism, litigation, and exposés, they have improved significantly. There has been a rather significant increase in per capita spending in almost every state, a significant decrease in the overcrowding of most facilities, and a general decrease in the size of institutions. Generally, institutions have shifted toward

forming units, decentralizing, developing individual program plans, and conforming to accreditation as well as to intermediate care facility standards.

So it is important to recognize that there *has* been significant improvement and that, indeed, some state institutions have met accreditation standards. However, conditions in many state institutions are still intolerable. Dissatisfaction, and ultimately litigation, centers around five major complaints.

1. *Dehumanizing conditions.* Although cruel beating of residents, unfortunately, does still occur in some institutions, phenomena such as regimentation, enforced idleness, and physical and/or chemical control of the residents are more common examples of dehumanization.
2. *Unsanitary and hazardous conditions.* These types of situations include overmedication, malnutrition, lead paint on the walls, nails sticking out of the walls, and disease hazards.
3. *Conditions contributing to regressive changes.* By restricting access to educational facilities, by providing only nonstimulating environments, and by reinforcing submissive behaviors, some institutions foster regression rather than development of residents.
4. *Isolation from the community.* Since many institutions are in somewhat remote locations and provide a wide array of services themselves, residents often have no opportunities to get away from the grounds of the institution to participate in any less restrictive community activities or services.
5. *Exploitation of residents.* Peonage and human experimentation have been the two primary means of exploiting residents. Although those practices are still in use, they occur much less frequently now than in the past several decades.

Legal Rights

Litigation

All of you are aware—some of you painfully so—of increasing militancy and litigation, particularly from advocacy groups that have changed from nice, cuddly pussycats to snarling tigers. This newly-developed militancy is probably a reflection of the contemporary social climate, in which the civil rights movement, the women's movement, and many others have focused national attention on insuring the constitutional rights of the individual. Developmentally disabled persons and their advocates have joined this fight by attacking many state laws that still categorically discriminate against them. As late as 1973, for example, 43 states forbade or nullified marriages involving mentally retarded persons and 26 states had compulsory sterilization laws.

Impatience and a growing credibility gap have been the major factors leading to litigation. Consumer organizations have grown impatient with the endless delays in implementation of plans and the continuing discrepancy between what is planned and what, in fact, occurs. We developed beautiful plans in the mid-1960s but many of these, as you well know, have turned into no more than superb meals for cockroaches. Probably every state today possesses excellent plans; I have yet to evaluate a state institution that does not have fine statements of philosophies, goals, and objectives which relate marvelously to normalization, the developmental model, and individual program planning. And seldom do I find any appreciable differences among the goals of administrators, professionals, and consumers. But because consumers and consumer groups often are deeply frustrated by the discrepancy between public statements and reality, credibility gaps have developed.

Litigation, however, has not resulted solely from discontent by consumer organizations. Review of the major suits reveals involvement of such groups as the American Bar Association, the American Association on Mental Deficiency, the American Psychological Association, the American Orthopsychiatric Association, and, most recently, the Department of Justice. Professional organizations have frequently taken a leadership role by serving either as amici or as plaintiffs in many suits. And, in recent litigation, the Department of Justice has even acted as plaintiff!

While major court actions have concerned peonage, the right to education, and the right to treatment, other legal issues of importance are emerging. There is growing concern, for example, about sterilization of mentally retarded persons ("Society's Right to Sterilize," 1977). The *Wyatt* v. *Aderholt* decision in Alabama now incorporates court-mandated guidelines for sterilization. In many states there also is a trend, particularly within departments of welfare, to separate children from their mentally retarded parents and to place them in various adoptive settings. It seems probable that litigation dealing with this issue is imminent; the right to be a parent is apparently a constitutional right, and to deprive a person of that right because he or she is mentally retarded could be a violation of that person's constitutional rights.

Another area of emerging legal action is psycho-technology. There is some real concern that we are manipulating human beings and that, again, we may be violating the constitutional rights of these individuals. The National Commission on Protection of Human Subjects in Bio-Medical and Behavioral Research was established in Washington in 1974 to deal with this problem. Those of us who use behavior modification programs should give serious consideration to the national implementation guidelines which are being developed by this commission. Behavior modifiers may well find themselves facing legal action unless they carefully follow some prescribed process, which should include, among other things, a regular review of their programs by independent parties and informed consent by all recipients of the techniques or their legal guardians.

The concept of right to treatment in community facilities also is emerging as an issue. Litigation is currently pending against many institutions because of their failure to deliver acceptable treatment. In fact, litigation may soon aim toward the elimination of institutions altogether. Essentially, the rationale is that if services delivered in community settings are as effective as services delivered in institutional settings, the services *must* be delivered in community settings because they are less restrictive. However, whether services *can* be delivered as effectively in the community as in the institutional setting, and whether community settings are indeed less restrictive than institutions, are questions that have not yet been answered conclusively.

Implementation of Court Decisions

Mere victory in a court of law in no way assures the delivery of services to mentally retarded clients. Once the court has made a decision, the problems have only begun. It is essential, for example, to capitalize on demonstration projects and to incorporate desirable principles such as normalization, individualization, self-actualization, and the developmental model when implementing litigation. Moreover, it is essential that details of the implementation be clearly defined, which is often very difficult. We may, for example, advocate a "no reject" education system, but truly assuring this is a challenging task. We also may subscribe to the principle of deinstitutionalization, but insuring that we develop a consent decree that will implement deinstitutionalization to the benefit of the residents is a major challenge.

It also is necessary to develop monitoring and advocacy mechanisms to insure that the mandate of the court is being appropriately implemented. There are various ways of doing this. Several years after its 1972 ruling, the court in the *Mills* v. *Board of Education* case in Washington, DC, decided to appoint a master because the Department of Education had failed to implement the court order and a large number of retarded children still were not being educated. The *Wyatt* v. *Stickney* court employed another strategy when it established a Human Rights Advocacy Committee which essentially monitors the implementation of the court-mandated standards. The "Willowbrook" case *(New York State Association for Retarded Children* v. *Carey),* which was concluded through a consent decree in 1975, established a similar professional review panel that is overseeing the implementation of the consent decree and is directly responsible to the court.

Basic to all these strategies is the more fundamental challenge of modifying the matrix of society, changing attitudes toward mentally retarded persons, modifying legislation, and insuring resources. Unless these types of changes take place, court decisions will occur in a vacuum. For example, the court mandated that Willowbrook's population will decrease from approximately 3,000 to 250 in five years. Obviously, unless the resources are made available to develop community-based programs, this could be a catastrophic decision.

Trends in Services

Education

Some particularly exciting changes are taking place in education. The Education for All Handicapped Children Act of 1975 (Public Law 94-142) redefined the target population by extending the age range from birth to 21 and broadened ability levels to include severely and profoundly handicapped individuals. But change does not always come easily. For example, in 1975 the National Association for Retarded Citizens (NARC) sponsored a conference entitled, "Educating the 24-Hour Retarded Child," which dealt with the education of severely and profoundly retarded children. The majority of the presenters, who are outstanding experts in special education, talked about educating *moderately retarded* individuals. Even the professionals in education have a very difficult time coping with education for severely and profoundly handicapped persons. It is one of today's major challenges.

Another important trend in education is decentralization (the integration and dispersion of handicapped individuals). This mainstreaming phenomenon has spawned a pragmatic orientation which includes a shift away from the more traditional academic focus and a greater emphasis on self-help, social, and vocational skills.

Also evident is a marked explosion in innovative technology, including refinement of highly sophisticated behavior modification educational techniques, engineered classrooms, computerized programmed instruction, and what might be called educational prostheses. For example, retarded persons may soon be supplied with simplified pocket calculators so that rather than learning the complex operations of addition, subtraction, multiplication, and division, they will simply learn how to punch color-coded buttons to obtain answers to practical numerical problems. Home instruction through learning lines and packaged audiovisual education also is gaining in popularity. Packaged audiovisuals have the distinct advantage of letting each individual learn at his or her own rate, repeating the instructions as often as necessary. The use of telephone hot lines also may prove useful. For example, mentally retarded persons could be taught to dial a very simple number (e.g., 333-3333) to request emergency information.

The use of analog educational techniques which capitalize on the functions of the right cerebral hemisphere of the brain, is another facet of the educational technology revolution. The left cerebral hemisphere controls verbal functions, whereas the right hemisphere deals primarily with nonverbal and nonlinear functions. Educational programs capitalizing on nonverbal activities—such as music, games, simulation, role playing, and the use of displays—may be more appropriate for retarded learners than the traditional academic approach.

In the past, education has been based on a highly competitive model. It has been a dog-eat-dog system where success is predicated on surpassing other students. But the trend today is toward group education, which fosters cooperation rather than competition. If this trend continues, it could have a significant impact on developmentally disabled persons, since functioning as members of groups could help them gain greater acceptance and self-regard.

There also is a tendency toward more parent involvement in decision making and in training. It seems likely, for example, that particularly in educating severely and profoundly retarded individuals, home training will become a critical factor. Training strategies which teach parents to coordinate their efforts at home with the efforts of the educational establishment currently are being developed and implemented.

Finally, we can anticipate an increase in the demand for quality control and effectiveness measures in educational services. As in other types of human services, educational personnel are being held accountable for their programs and activities. Effectively monitoring and evaluating clients and services is becoming an increasingly crucial part of the service delivery process.

Residential Programs

We currently are witnessing a two-pronged thrust in residential services; institutions are being upgraded and community-based alternatives are being developed as well. We also are witnessing a dangerous tendency toward over-simplification and polarization. There are those, for example, who urge us to abandon institutions and funnel all our resources into community programs. There are others who would have us put all our resources into upgrading institutions. Both are dangerously limiting trends which arise from the simplistic notion that there is a single solution for all developmentally disabled persons.

Success in decentralizing institutions is predicated on a number of factors, the most important of which is a broadening rather than a narrowing of options. Consumers must have a number of residential models from which to select—including the residential institution—as well as access to generic and specialized services in the community. Studies are beginning to appear which indicate that residents in group homes do have access to generic services and do participate fully in community life.

Decentralized community programs, however, must have clearly specified loci of responsibility and accountability. They should institute mechanisms of quality control, provide assurance of continuing fiscal support, and incorporate protective services and advocacy systems in order to reassure parents that when they grow old, or when they die, services will continue for their developmentally disabled child. Public education and consumer participation in decision making and evaluation also are essential components of a decentralized service system. Finally, the programs must be fluid, insuring freedom of movement from one setting to another. In a recent study, O'Connor and Sitkei (1973) found that

40% of the residents of community-based programs made some type of change of residence in one year. One-third of these moved to independent living situations and only one-seventh returned to an institution.

Consumer Organizations

Consumer organizations are currently shifting toward advocacy and catalytic functions and away from operation of direct services. They are increasingly involved in attempting to modify public attitudes by working with the media, enlisting aid from civic groups, and developing specific public attitude campaigns. NARC, for example, has published a curriculum designed to teach local unit members to train police in recognizing and dealing with mentally retarded persons ("Guidelines for Local and State ARC Units," 1976).

Systematic review and evaluation of agency programs also is becoming a major activity. Part of this monitoring process is accomplished by training state and local groups to identify existing and/or potential funding sources such as Title XVI (Supplemental Security Income), Title XIX (Intermediate Care Facilities), and Title XX (Social Services) of the Social Security Act; the 1975 Developmentally Disabled Assistance and Bill of Rights Act; and the Department of Housing and Urban Development. Another important function of consumer groups is to assure that these funds are used effectively. It seems very likely, in fact, that most agencies dealing with developmentally disabled persons will soon develop some kind of legal and/or human rights advocacy committees. Those groups will work with the agency in evaluating programs, in insuring that legal and constitutional rights are not being violated, and in making sure that the technology employed is not abusive.

Governmental and legislative action continues to be a major focus of consumer groups at the state and local levels as well as at the federal level. There is an increasing emphasis on action groups in low socioeconomic sectors. Consumer groups are studying strategies both for delivering services to poor people and for involving representatives from the poverty sectors. In addition to delivering services such as group counseling and "pilot parents," consumer organizations also are currently involved in guardianship programs.

Conclusion

Let me conclude by emphasizing the painfully obvious; there are serious obstacles to implementing the developmental model and the principles of normalization, individualization, and self-actualization. We humans, however, travel through time, anticipate the future, and can do something about it. We are in an unparalleled position to shape our own destinies. Today's emerging ideology and the clamor for constitutional rights can shape the future for developmentally disabled persons in our land. They can narrow the gap between the reality of today and the values on which our country was founded so that hopefully, in the not too distant future, we will indeed have a land of human dignity with freedom and justice for all citizens.

References

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Now that you have read the chapter, turn back to the checklist on page 1.15 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

Complete the two exercises in this section before your Session 2 group meeting.

Locating Mission Statements

In order to complete the group practical applications section, you will need to know what your agency's mission statement is. In most cases, this statement will be a broad, vague, one- or two-sentence description of your agency and its purpose. Possible sources include legislation, the agency's bylaws or constitution, brochures, and other public information materials.

Locate as many of your agency's mission statements as possible and bring them to the next group meeting. If you write them down rather than bringing the documents that contain them, be sure to note the source and date.

Examining Your Managerial Style

In the next chapter you will be introduced to a variety of management theories and styles. After reading that chapter you will have an opportunity to analyze your own approach to management by scoring and interpreting your responses to a style survey entitled, "Supervisory Attitudes: The X-Y Scale." To avoid biasing your responses, you should complete the scale at this time, *before* reading any of the material in Session 3. In the individual preparation section for Session 3, instructions for scoring and interpreting your responses will be provided. Although it may be frustrating to complete the scale now and then wait several days before scoring and interpreting it, following that approach will maximize the benefit you can gain from the style analysis as part of this training package.

Be candid in responding; the instrument loses its introspective value if your responses do not accurately reflect your supervisory behavior. Although you will have an opportunity to share your scores with other members of your group if you wish, you will not be forced to do so. Turn the page now and complete the X-Y scale.

Supervisory Attitudes: The X-Y Scale[1]

The following items describe behaviors which managers may display in relation to other staff members. Respond to each item by placing a check mark in the column which reflects the way you would be most likely to act.

If I were the supervisor, I would:	Make a great effort to do this	Tend to do this	Tend to avoid doing this	Make a great effort to avoid this
1. Closely supervise staff in order to get better work from them.				
2. Set goals and objectives for staff and sell them on the merits of my plans.				
3. Set up controls to assure that staff are getting the job done.				
4. Encourage staff to set their own goals and objectives.				
5. Make sure that staff's work is planned out for them.				
6. Check with staff daily to see if they need any help.				
7. Step in as soon as reports indicate that the job is slipping.				
8. Push staff to meet schedules if necessary.				
9. Have frequent meetings to keep in touch with what is going on.				
10. Allow staff to make important decisions.				

[1]Reprinted, with changes, from *The 1972 Annual Handbook for Group Facilitators*, by J. William Pfeiffer and John E. Jones (La Jolla, CA: University Associates Publishers, Inc., 1972), pp. 65-68, by permission of the publisher. Copyright 1972 by University Associates Publishers, Inc. The X-Y scale was adapted by University Associates from a longer instrument developed by Robert N. Ford.

Practical Applications for the Management Team

Proceed with this set of practical applications in the same way that you completed those for Session 1. Depending on the decision you made at that time, you may read aloud or the coordinator may direct the group by reading aloud only the instructions in bold type and summarizing the remaining information. In any case, be sure to ***finish each exercise***--or each step within an exercise—***before proceeding to the next task.*** Remember that the results of most exercises will be used as a basis for work in later sessions.

Formulating a Mission Statement

1. *Contributing individual discoveries.* ***Share the agency mission statements you've discovered*** by having each group member read one statement and then repeating the process until each person has had a chance to contribute all of his or her statements. The coordinator or another group member should ***write an abbreviated version of each statement on the blackboard or on a large pad of paper,*** omitting only those that are obvious duplications. ***The source and date*** for each statement ***also should be recorded.*** Take about 10 minutes for this step.

2. *Combining concepts.* ***If you have only one statement from step 1*** it will not be necessary to complete this step. ***Record your mission statement in the space on the next page and proceed to the next exercise.***

   If you have several statements, however, ***you must*** examine them to ***determine whether they are compatible with one another. If they are, choose one statement or combine the concepts from several. Record the group consensus*** in the space ***on the next page.*** This should take not more than five minutes.

   If your mission statements are not compatible, examine the source and the date for each statement. Perhaps the mission of the agency has evolved over a period of years and a more recent statement has superseded an earlier one. If this does not account for the discrepancy, you will be given a chance in the next exercise to plan further investigation. ***If you have unexplained incompatible statements, disregard them for the present and combine the concepts contained in any remaining statements into a one- or two-sentence mission statement and record it on the next page.*** Complete this step in five minutes.

_____

_____

_____

_____

_____

Examining the Mission Statement

1. *Discussing.* The assumptions underlying an agency's mission statement may affect management personnel and, ultimately, everything that is done to, for, and with the agency's clients. However, as discussed in this chapter, there is a discrepancy between public statements and reality in many organizations. ***Discuss ways in which your mission statement does or does not affect members of the management team and clients.*** (Remember that even if you have not ever actually seen your mission statement, its underlying assumptions could have been communicated to you in a variety of ways, including attitudes of senior staff and existing policies and procedures.) Take about five minutes for this discussion.

2. *Critiquing.* Now that you've discussed ways in which the mission statement does or does not affect your and the agency's day-to-day functioning, ***consider how much influence you think your mission statement should have.*** One consideration, of course, is the quality of your mission statement, so ***use the questions below to critique it.*** Turn back to page 2.2 if you need an explanation of the principles, but take no more than 10 minutes for this step.

	Yes	No
Is the mission statement based on the developmental model?		
Does it adhere to the principle of normalization?		
Does it take into account the principle of individualization?		
Does it reflect a belief in the principle of self-actualization?		

3. *Modifying.* If your answer to any of the above questions was "no," if you have incompatible mission statements you can't explain, or ***if you have decided that your mission statement is inadequate or inaccurate*** for any other reasons, ***you should check your interpretation of the statement*** with your executive director, board of directors, or other administering body. If the executive director is a member of the management team, take time now to be sure your interpretation is correct. If not, ***designate one group member to check your interpretation before the next group meeting. Record that person's name here:*** _____. You will be given a chance at the beginning of the next group meeting to develop strategies for modifying your mission statement if necessary.

Role Playing

In this exercise, ***you will need one person to play the role of a client, one to play a trainer or teacher, and one to take the part of a member of the management staff.*** To the extent possible, you should play roles that are different from your functions in reality.

The role-play situation is as follows:

> ***A client in Program B in your agency has been acting out and has not responded to the requests of program staff. The trainer/teacher feels that the client is disrupting the entire program and wishes to have him or her barred from participating. The trainer/teacher is appealing to the manager for a ruling during a meeting in which the client also is present.***

Group members who are playing roles can take a minute or two to think about the people they're playing and how they might act, but don't take more than 10 minutes for this entire exercise. ***Help each other get into the roles, and help the group get the most from the exercise by staying in character and responding appropriately. Those who are not playing a role should observe and take notes*** for the critiquing session that will follow. You may begin the role play as soon as the three participants are ready.

Examining the Role Play

The questions on the chart on the next page refer to the manager's approach to the role-play situation you just completed.

1. *Completing the chart.* ***After you've responded "yes" or "no" to each question about the manager's actions, determine the results of each response you've checked.*** (For example, if your answer to the first question is "no," a possible result might be that the client never got to present his or her side of the story.) Then ***record in the column to the far right whether the manager acted in accordance with the mission statement you wrote on page 2.12.*** (Take about 10 minutes for this step.)

Role-Play Results

Manager's Approach	Responses and Results			Response Consistent With Mission Statement?	
	Yes	No	Result	Yes	No
Did the manager act as a neutral third party by listening to the client as well as to the trainer/teacher?					
Rather than assuming that the client was not capable of benefiting from Program B, did the manager make an effort to determine whether the services and the manner in which they were offered were appropriate for this client?					
Did the manager make an attempt to discover other possible reasons for the client's behavior?					
Were unique features of the client's and the trainer/teacher's personalities taken into account in determining the source of the conflict as well as in developing the solution?					
Was the client allowed to help develop alternative solutions to the situation?					
In safeguarding the client's rights, did the manager remember to consider the rights of the supervisor as well?					

2. *Interpreting and discussing the chart.* ***If you have all "yes" answers in the first response column, the person role playing the manager acted in accordance with the principles presented in this chapter. If you have all "yes" answers in the far column, the manager acted in accordance with your agency's mission statement.*** If both columns contain all "yes" answers, congratulations! Your mission statement reflects all this chapter's principles and your manager followed it explicitly.

   It is very likely, however, ***that your chart does not contain all "yes" responses.*** This may mean that your mission statement does not reflect the principles and/or that your manager did not act in accordance with the mission statement.

   Take about 10 minutes to ***discuss the following:***

   Were there times that the manager did ***act in accordance with the mission statement and should not have?***

   If there were times that the manager did not ***act in accordance with the mission statement, were his or her actions justified? (That is, should you allow your personal philosophy to guide your actions when the mission statement is in conflict and if so, under what circumstances?)***

   If your discussion yields consensus that the manager's actions should have been different in some respects, how would these differences have affected the outcome of the role play?

Before adjourning, read aloud the following list:

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.13 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "A Survey of Management Theory and Style."*
3. *Complete the individual preparation section which follows the chapter. Remember that this is necessary in order to be able to participate effectively in the group meeting.*
4. *Review the practical applications, but do not complete any of the exercises.*
5. *If you are the Session 3 coordinator, you might find it helpful to turn back to the list of coordinator's responsibilities on pages 1.5-1.6. Pay special attention to the fourth item in the list, which gives you specific directions about locating all information from previous exercises that is needed to complete the session you are coordinating.*

Session 3

A Survey of Management Theory and Style

Classical Organization Theory 3.1
- Early Classical Thought 3.2
- Taylor's Scientific Approach 3.2
- Weber's Bureaucracy 3.3
- Underlying Assumptions 3.3

Management Science Theory of Organization 3.4

Human Behavior Approach to Organization Theory 3.5
- Acceptance Theory of Authority 3.5
- X-Y Theory of Management 3.6
- Motivation 3.7
- Systems of Management 3.8
- Organizational Structure 3.9

References 3.10

Individual Preparation 3.13

Practical Applications for the Management Team 3.17

Things to Do Before the Next Group Meeting 3.23

The way in which management personnel view themselves and their co-workers shapes the work environment and greatly influences the way in which program planning and evaluation activities are conducted. This chapter provides an explanation of the genesis of managerial styles by outlining the premises of the three major schools of thought: classical, management science, and human behavior. This survey of various approaches provides historical perspective that is valuable to the administrator in examining his or her own method of managing human resources.

In this session you will:

1. Locate your managerial style on the X-Y scale by scoring and interpreting a supervisory attitudes questionnaire.
2. Classify the managerial system within which your organization operates and discuss its implications.
3. Re-examine the actions of the manager in the role play in Session 2.
4. Critique the performance of your own management team.

A Survey of Management Theory and Style

William G. Hills

The origins of organization theory go back at least as far as the Old Testament, where we hear of the problems Moses had in organizing his people.

> And Moses chose able men out of all Israel, and made them heads over the people, rulers of fifties and rulers of tens. And they judged the people at all seasons; the hard cases they brought unto Moses, but every small matter they judged themselves. (Exodus 18:25-26)

The elements of personnel selection, planning, division of work, lines of authority, and delegation of responsibility all can be detected in this biblical reference. Indeed, the passage even exhibits our modern-day principle of management by exception in which the subordinate judges every small matter but sends the more difficult cases up the line.

Because organization theory was spawned so many centuries ago, Harold Koontz's (1961) characterization of current management theory as a "jungle" is not surprising. In an attempt to organize all the information accumulated over the centuries, Koontz divided management theory into six schools of thought—management process, empirical, decision theory, mathematical, human behavior, and social system. More recently, however, Donnelley, Gibson, and Ivancevich (1971) collapsed these six into three: *classical, management science,* and *human behavior.* The basic tenets of these three schools of thought and their applicability to human service agency administration will provide the basis for discussion throughout the remainder of this chapter.

Classical Organization Theory

The genesis of modern management is commonly associated with the earliest proponents of classical organization theory. In general, classicists extol the virtues of organizational goals, division of labor, the unbroken flow of authority from the highest executive to the lowest operative, and formal structuring of the work environment.

Early Classical Thought

In 1916, Henri Fayol, one of the earliest classicists, developed an explicit yet broad framework of general administration which contains five elements—*planning, organization, command, coordination, control*—and 14 principles.

1. *Division of work* (reduction of the number of objects to which an employee directs his or her attention, thus increasing efficiency);
2. *Authority* (the right to give orders and the power to exact obedience);
3. *Discipline* (obedience and respect observed in accordance with the standing agreements between the firm and its employees; maintained by having good superiors at all levels, clear and fair agreement, and sanctions judiciously applied);
4. *Unity of command* (system in which an employee receives orders for any action from one superior only);
5. *Unity of direction* (existence of one manager and one plan for any group of activities having the same objective);
6. *Subordination of individual interests to general interests* (prevalence of organizational concern over the interest of one employee or group of employees; achieved through firmness and supervision);
7. *Remuneration of personnel* (payment at a rate which depends on the value of the employee as well as on circumstances independent of the employer's will and employee's worth—e.g., cost of living, abundance or shortage of personnel, general business conditions);
8. *Centralization* (reduction of the importance of subordinates' roles);
9. *Scalar chain* (flow of authority and responsibility in a clear, unbroken line from the highest executive to the lowest operative);
10. *Order* (a place for everyone and everyone in his or her place; facilitated by a chart or plan to make the establishment and control of human arrangement easier);
11. *Equity* (fairness and equality of treatment in dealing with employees);
12. *Stability of tenure of personnel* (avoidance of staff turnover, which is both the cause and effect of bad management);
13. *Initiative* (demonstration of tact and integrity to inspire and maintain employees' initiative);
14. *Esprit de corps* (harmony and unity among personnel).

The classification system of this French industrialist is partially responsible for the "traditional" and "mechanistic" characterizations that have been applied to classicists. The impact of his system is still felt in managerial circles today.

Taylor's Scientific Approach

Frederick Taylor, an American contemporary of Fayol who was among the first to conduct systematic studies of management method and has been called the father of scientific management, set forth the principles of time and motion study and later published *The Principles of Scientific Management* in 1911. His approach, which relates primarily to lower levels of management, consists of a logical, orderly sequence of events.

1. Specify what constitutes a particular job and determine the best method for doing the job.
2. Select the person best suited to the job.
3. Train the person thoroughly in the method selected.
4. Measure and state the standard output requirements that apply to the job.
5. Pay an incentive bonus for production in excess of the standard output level.

Taylor's systematic approach was carried out with the aid of crude but effective personnel tests, systematic training, and measured standards of performance established with the aid of stop-watch time studies. This was coupled with a system of payment wherein wages rose and fell in relationship to worker output.

Weber's Bureaucracy

About the time Fayol and Taylor were developing their approaches to management, Max Weber was formulating a comprehensive theoretical basis for administering large-scale undertakings. Authority, he felt, is the cornerstone of any organization and he postulated the existence of three types of authority: *rational-legal,* which assumes the rights of those elevated within a hierarchy; *traditional,* which relies on belief in customs and the legitimacy of those currently exercising authority; and *charismatic,* which is based on the exceptional heroism or exemplary character of an individual (Weber, 1968).

Weber concluded that bureaucracy is the ideal organizational arrangement and that it should be based on rational-legal authority. This type of authority grants the leader legality, provides a basis for continuity of administration, and limits authority to functions requisite to task accomplishment. In Weber's bureaucracy, authority and responsibility are based on functional specialization and are clearly defined for each member of the organization. Within the well-defined hierarchy of authority there is a system of procedures for dealing with work situations. Impersonally and uniformly applied rules cover the rights and responsibilities of employees, and selection and promotion of employees is based solely on technical competence.

But this bureaucratic framework of management has not met with universal acceptance. Warren Bennis (1965) has criticized this system because it is resistant to change and does not allow for personal growth and the development of mature personalities. Instead, it encourages conformity and "group think," making individuals dull, gray, and conventional. Communication and innovative ideas are thwarted or distorted because of hierarchical divisions, and full human resources are not being utilized because of mistrust and fear of reprisal. Weber's bureaucracy does not take the informal organization into account. It does not possess adequate means for resolving differences among ranks and between functional groups, and there is no adequate judicial process.

Underlying Assumptions

Although each classicist saw the organization of human resources from a slightly different perspective, they all believed that accomplishment of organizational goals requires the exercise of one-way control from a single source at the top of the organization and had in common the following assumptions (March, 1965):

1. Efficiency is measured solely in terms of productivity; it relates to a mechanical process and economic utilization of resources without consideration of human factors.
2. Human beings can be assumed to act rationally. The only important considerations in management are those which involve individuals and groups of individuals heading logically toward their goals.
3. Members in a cooperative endeavor are unable to work out the relationships among their positions without detailed guidance from their superiors.
4. Unless clear limits to jobs are defined and enforced, members will tend to be confused and will trespass on the domains of others.
5. Human beings prefer the security of a definite task and do not value the freedom of determining their own approaches to problems; they prefer to be directed and will not cooperate unless a pattern is planned formally for them.
6. It is possible to predict and establish clear-cut patterns of future activities. All groups of tasks can be outlined in advance of execution.
7. Management involves primarily the formal and official activities of individuals.
8. The activities of a group should be viewed on an objective basis without regard to personal problems and characteristics.
9. Because workers are motivated by economic needs, incentives should be monetary.
10. People do not like to work, therefore, management must lead them fairly and firmly in ways that are not part of their inherent nature; close supervision and accountability are essential.
11. Coordination will not be achieved unless it is planned and directed from above.
12. Authority has its source at the top of the hierarchy and is delegated downward.
13. Simple tasks are easier to master and thus lead toward higher productivity.
14. Managerial functions have universal characteristics and can be performed in a given manner, regardless of the environment and personnel involved.

While some have attacked classical organization theory on the grounds that it merely contains truisms and common sense, others have claimed just the reverse—that it is based on false premises. Still others have charged that many of its principles seem contradictory and there is no guide for application in a given situation. It is well to remember, however, that these principles have been developed as approximations or generalizations from experience. While they appear contradictory, each may be partially, or under some conditions, true.

Management Science Theory of Organization

The management science school received its impetus in Herbert Simon's 1948 work, *Administrative Behavior.* After debunking the principles of the classicists, Simon proposed the development of a new science of administration based on the theories and methodology of "logical positivism." The focus of such an approach was to be decision making and, to insure that it would be scientific, it would exclude value judgments, concentrate on facts, adopt precise definitions of terms, apply rigorous analyses, and test factual statements or postulates about administration. Simon believed that "an administrative

science, like any science, is concerned purely with factual statements. There is no place for ethical assertions in the body of a science" (p. 253).

The management science school should not be confused with the earlier scientific management of Taylor, although they do share the same philosophy—the rigorous pursuit of science removed from human behavior. Taylor's scientific management receded in the 1930s and 1940s, but operations research and computers have revived the use of similar technological approaches. Like scientific management, operations research is based on a body of technical methods for solving work problems. Both are usually external in their approach, separating the planning of problem-solving programs from the routine acting out of solutions. Also, there has developed from operations research a new class of specialists analogous to the earlier staff efficiency person.

Clearly different, however, is the scope of the techniques used in the two approaches. Operations research and information processing are more applicable to large tasks such as linear programming, which Taylor's scientific management could not touch. In any case, the theme—conflict between technology and humanity—is the same. Although the mathematicians and operations researchers will continue to enrich administrative knowledge, their contributions are limited.

Human Behavior Approach to Organization Theory

A group of now classical experiments conducted at the Hawthorne Works of the Western Electric Company from 1927 to 1932 (Roethlisberger & Dickson, 1939) marked the entry of social scientists into the systematic study of organizational life. The researchers concluded that personal and social relationships in the work group are more important than physical factors in accounting for variations in worker productivity. These results spawned a "people-minded" school of administrative thought which emphasizes the psychological and social dimensions of organizations. In contrast to the classical school, proponents of the human behavior approach view the organization as more akin to a living organism than a machine; they recognize the importance of such factors as environment, change, and uncertainty.

Acceptance Theory of Authority

Much of the current thinking in the field of management can be traced to Chester I. Barnard, a practicing executive who introduced the concepts of informal organization, status, and management communications in his 1939 book, *Functions of the Executive.* Barnard defined a formal organization as a system of consciously coordinated activities of two or more persons; people, not boxes on the organizational chart, constitute an organization.

Dissatisfied with the classical view that authority comes from the top down, Barnard proposed what has become known as the acceptance theory of authority. According to this proposition, four conditions must be met before a person will accept a communication as authoritative. He or she must understand the communication, must believe that it is consistent with the purpose of the organization, must believe that it is compatible with his or her personal interests, and must be mentally and physically able to comply with it. In short, authority is granted to supervisors by their subordinates rather than imposed from above.

X-Y Theory of Management

More than any other single factor, a manager's fundamental beliefs or assumptions about the world and its inhabitants affect the way in which he or she chooses to manage. Personal philosophy and expectations about subordinates' competence greatly influence worker production and managerial style. The self-fulfilling prophecy, in fact, is as operative in management as in other daily pursuits. A manager's expectations are often fulfilled, not because they are accurate predictions, but because the manager who makes the prophecy alters his or her own actions in such a way as to cause the expectations to be met. Furthermore, when these expectations are met, the manager misperceives the event and is unaware of how his or her own behavior exerted an influence on the behavior of the worker.

In *The Human Side of Enterprise* (1960), Douglas McGregor explored the importance of varying beliefs about human nature, developed two useful prototypical views (theory X and theory Y), and discussed their implications. Three assumptions are intrinsic to theory X (pp. 33-34):

1. The average human being has an inherent dislike of work and will avoid it if possible.
2. Because of this human characteristic of dislike for work, most people must be coerced, controlled, directed, and threatened with punishment to get them to put forth adequate effort toward the achievement of organizational objectives.
3. The average human being prefers to be directed, wishes to avoid responsibility, has relatively little ambition, and wants security above all.

The underlying assumptions of theory Y connote a sharply different view of human behavior (pp. 47-48):

1. The expenditure of physical and mental effort in work is as natural as play or rest.
2. External control and the threat of punishment are not the only means of bringing about effort toward organizational objectives. Individuals will exercise self-direction and self-control in the service of objectives to which they are committed.
3. Commitment to objectives is a function of rewards associated with their achievement.
4. The average human being learns under proper conditions not only to accept but also to seek responsibility.
5. The capacity to exercise a high degree of imagination, ingenuity, and creativity in the solution of organizational problems is widely, not narrowly, distributed in the population.
6. Under the conditions of modern industrial life, the intellectual potentialities of the average human being are only partially utilized.

That these differing philosophies have the potential of affecting managerial style is apparent. Administrators who adhere to theory X tend to be punitive, hierarchically oriented, and extremely controlling. They direct through the exercise of authority; organizational requirements take precedence over the needs of individuals and no time is spent developing workers' potential. Theory Y, on the other hand, assumes that people will exercise self-

direction and self-control in the achievement of organizational objectives to the degree that they are committed to those objectives. Therefore, theory Y managers believe in the principle of integration or "the creation of conditions such that the members of the organization can achieve their own goals *best* by directing their efforts toward the success of the enterprise" (McGregor, 1960, p. 49).

Theory Y is, in many respects, the embodiment of the human behavior approach to organization, while theory X most closely resembles the classical concepts and the bureaucratic model discussed earlier. Theory Y encourages self-control and creative contributions. It suggests that the limits of human collaboration in the organizational setting are not limits of human nature, but of management's ingenuity in discovering ways to realize the potential represented by its human resources. Unlike the classical model, theory Y places the problem of ineffective performance squarely in the lap of management. If employees are lazy, indifferent, unwilling to take responsibility, or uncooperative, management's methods of control and organization are at fault.

Theory X and the classical model encourage workers to be dependent on the direction and control of their superiors, while theory Y is based on the premise that workers can be creatively independent if given the chance. Most mature adults live an interdependent existence and McGregor concludes that it is essential to allow workers to do the same. By adhering to theory X and the classical concepts, he says, "management appears to have concluded that the average human being is permanently arrested in his development in early adolescence" (McGregor, 1960, p. 43).

Motivation

Central to the human behavior model of management is the notion that an individual's actions at any moment are the result of both internal and external forces. Changes in the direction or intensity of these forces produce changes in individual behavior.

When Abraham Maslow attempted to identify these forces and determine their relative importance, he got to the very crux of the management question—that is, what motivates individuals to work? According to Maslow (1954), motivation comes from within the individual and cannot be imposed. He postulated the existence of five basic needs, arranged them in order of importance, and maintained that the most basic unmet need in the hierarchy is the behavioral motivator for each individual. Once a need is met, he concluded, it is no longer a motivating factor and the adjacent need in the hierarchy then instigates action. If physiological needs are not met, for example, they are the overriding motivator of behavior. If these needs have been attended to, however, safety and security become the prime concerns of the individual (see Figure 1).

For the manager, the implications of the needs hierarchy are important. Physiological and security needs can be satisfied with fair wages, fringe benefits, and good working conditions. But once these needs are met, monetary and other frequently-employed incentives are no longer the best motivators. Higher needs—such as the sense of belonging, the chance to gain respect from fellow employees, and the prospect of growing as a person—become the focus of an individual's attention. On the other hand, if physiological and safety needs are *not* met, workers become preoccupied with those aspects of their job and are not motivated to use their full imagination and creativity. While theory X managers structure the work environment to fulfill worker's physiological and security requirements, their methods do little to meet higher order needs. These needs are the focus of theory Y administrators and, consequently, influence their choice of managerial strategies.

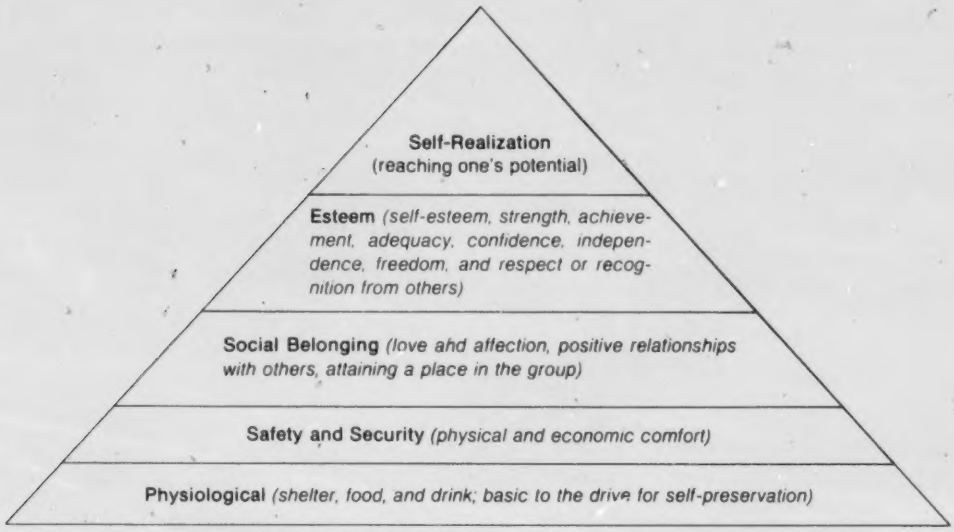
Self-Realization
(reaching one's potential)
Esteem (self-esteem, strength, achievement, adequacy, confidence, independence, freedom, and respect or recognition from others)
Social Belonging (love and affection, positive relationships with others, attaining a place in the group)
Safety and Security (physical and economic comfort)
Physiological (shelter, food, and drink; basic to the drive for self-preservation)

Figure 1. Maslow's needs hierarchy.

Systems of Management

In *The Human Organization* (1967), Rensis Likert proposed the continuum in Figure 2 as a way of classifying managerial systems.

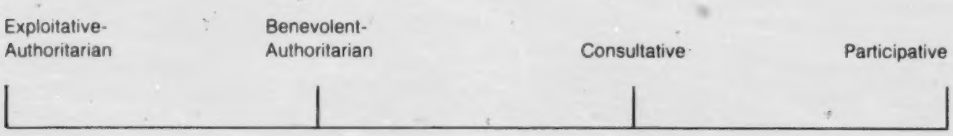

Figure 2. Classification of managerial systems.

Exploitative-Authoritarian. In this type of system most decisions are made at top levels and communication is downward. Only high levels of management feel truly responsible for reaching organizational goals, and rank and file workers may even welcome opportunities to defeat those goals. Teamwork is discouraged and all members seem relatively dissatisfied.

Benevolent-Authoritarian. Communication is downward with little room for initiation at lower levels. All managerial personnel feel a responsibility for achieving organizational goals. There is little interaction between managers and staff, and teamwork is discouraged.

Consultative. Communication is both upward and downward and there is much emphasis on manager-staff relationships. A substantial proportion of the workers feel responsible for obtaining organizational goals. Board policies are developed at top management levels while more specific decisions are made at lower levels.

Participative. Communication is upward and downward between both individuals and groups. Managers and staff exhibit mutual trust and confidence. Personnel at all levels feel responsible for reaching organizational goals. Teamwork is encouraged and there is a high degree of worker satisfaction.

Research has demonstrated that participative managerial systems, based on convictions such as those of McGregor's theory Y, promote higher productivity, lower costs, more favorable attitudes, and excellent labor relations; the converse tends to be true for authoritarian managerial styles, which reflect the assumptions inherent in theory X (Likert, 1967, 1976; Viaille & Hills, 1973). In other words, the employee-oriented unit is generally more successful than the task-oriented unit.

One reason may be that, as part of a formal organization, the task-oriented (authoritarian) unit makes demands of individuals that are incongruent with their needs. This makes employees dependent, submissive, and passive, and enables them to use only a few, relatively unimportant abilities. The pyramidal structures, formal job descriptions, rigidly defined communication channels, divisions of labor, production schedules, and quotas of authoritarian management systems not only indicate a failure to recognize higher level needs, but actually thwart the worker in his or her quest to fulfill them (Argyris, 1957). When faced with this situation, healthy employees may try to decrease the psychological importance of the job, transfer to another job, climb the organizational ladder to a level of less conflict, or leave the organization altogether.

Managers, too, may become dissatisfied with the system in which they work. Anyone in a responsible position is not merely a link in a chain or even in several interlocking chains, but a member of different groups, formal and informal (Likert, 1967). When an organization is managed in the traditional, authoritarian manner, the interests of the manager and his or her groups will inevitably clash with the interests of the organization.

The problem, Argyris (1957) points out, is that people cannot *be* motivated; by nature they *are* motivated and organizations, in order to be successful, must contend with the nature and direction of that "psychological energy." When the organization's needs are placed above individual needs, as in authoritarian systems, that energy may be directed toward personal dissatisfaction, apathy, conflict, or even overt subversion of the organization. But when supportive management systems are utilized, individual and organizational needs are compatible, workers have a vested interest in attaining organizational goals, and employee satisfaction is high.

Organizational Structure

According to Argyris's mix model (1957), organizations may be classified as either "away" or "toward" on each of six dimensions. Organizations that are moving *away* from the ideal structure are those in which:

Power is centralized;

Units or departments are viewed as discrete entities with no relationship to the total;

The unit's objectives are self-serving, independent, and narrow;

The atmosphere is one of rigidity and inflexibility;

Change is not welcomed;

There is a short-sighted approach to achieving objectives, maintaining the internal system, and adapting for growth.

Those organizations that are moving *toward* the ideal are those in which:

There is an equalization and distribution of power and influence that buttresses the symbiosis between individual and organizational objectives;

Each unit is aware of overall goals and objectives;

There is cooperation in relating the unit's activities to the total objectives;

There is an atmosphere of open communication and mutual understanding of functions and roles;

Change is welcomed as a means of growth and advancement;

There is a planned strategy of goal setting and decision making that takes into account past experiences, present demands, and anticipated future requirements.

Argyris postulates that the ideal ("toward" rating) for each dimension applies to individuals and groups as well as to organizations and that movement toward the ideal is necessary on all three of those levels. Basic to attaining this ideal is the creation of a climate of openness and trust in all interpersonal relationships. Development of interpersonal competence and authenticity in relationships is the first step in dealing with personal differences that may block information flow. As interpersonal competence develops, the largest impediment to cohesiveness in work groups is removed.

Job enlargement and a change from directive to democratic or participative management are also strategies which will help bring about healthy growth. A work unit is most successful when it achieves unity of purpose and, according to McGregor, this is most effectively developed by "jointly evolved objectives and a high degree of informal collaboration in achieving them" (1960, p. 228). True collaboration, however, is often difficult to accomplish. Many so-called "teams," says McGregor, are merely "collections of individual relationships with the boss in which each individual is vying with every other for power, prestige, recognition and personal autonomy. Under such conditions unity of purpose is a myth" (1960, p. 228).

Whether a team consists of the relationships among managerial peers, or the interrelationships among several staff members and a manager, participative management provides an excellent way of systematically soliciting employees' input. In so doing, workers' needs for self-growth and esteem are met while the agency benefits from their creative powers.

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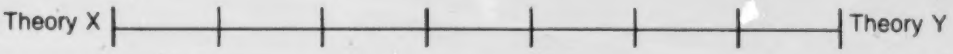
Now that you have read this chapter, turn back to the checklist on page 2.15 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

As a manager, your basic convictions about human behavior usually influence your policies, procedures, techniques, and more subtle aspects of your interaction with members of your staff. This individual exercise will provide an opportunity for you to examine your beliefs as well as your managerial behavior and to identify any discrepancies which may exist between the two.

Classifying Your Managerial Assumptions

Review the underlying assumptions associated with McGregor's theory X and theory Y (p. 3.6). Then think about your own beliefs concerning people in relation to work, and indicate on the scale below where you would place yourself.



Scoring the X-Y Scale

In the individual preparation for Session 2 you were asked to complete a style analysis questionnaire called, "Supervisory Attitudes: The X-Y Scale." Turn back to the questionnaire (p. 2.10) and remove it from your book.

Before you begin scoring the questionnaire, review your answers to insure that they reflect actual, rather than desired behavior. This is absolutely essential if the questionnaire results are to provide you with any useful information about yourself.

The scoring is done in the following manner:

	Do	Tend to do	Tend to avoid	Avoid
Items 1-3, 5-9	1	2	3	4
Items 4, 10	4	3	2	1

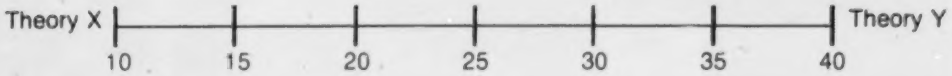
Beside each item number below, record the number of points you received for your response. Then sum the points to obtain a total score.

1. _____
2. _____
3. _____
4. _____
5. _____
6. _____
7. _____
8. _____
9. _____
10. _____

Total Score: _____

Locating Yourself on the Scale

Your total score will enable you to locate yourself on the X-Y scale. Indicate the point on the scale below which corresponds to your total score.



Because the X-Y scale is a continuum which includes many intermediate patterns of management, the point you plotted provides a crude index of your managerial style. But even though most people seem to be predisposed to manage in one way or another, points on the scale should not be regarded as fixed slots that isolate your managerial style. Because behavior is changing and flexible, you may find that you vary your approach in different situations.

Comparing Your Beliefs and Practices

When asked to examine your assumptions about people at work (p. 3.13), where did you place yourself on the X-Y scale? Is this point, which represents your beliefs, close to the point on the scale above, which represents your managerial practices?

Ideally, your managerial style should be an outgrowth of your convictions. If you found a gap between the point representing your beliefs and the point representing your practices, there may be several possible explanations. First, one or both of the points may be inaccurate. You may have misinterpreted the assumptions of theory X and theory Y when classifying your ideas, or perhaps your responses to the questionnaire were not entirely candid.

The second possibility is that a real discrepancy exists. Perhaps there are constraints in your job situation which prevent you from acting in accordance with your convictions. Often, managers do not feel free to deviate from the managerial style used by their own supervisors, even if this style conflicts with their basic assumptions about people. If you found a discrepancy between your beliefs and your managerial practices, use the space below to identify the factors which may have been responsible.

Modifying the Mission Statement

In the practical applications for Session 2, you examined your agency's mission statement (p. 2.12) to determine its compatibility with the developmental model and the principles of normalization, individualization, and self-actualization. ***If a conflict existed between these beliefs and your mission statement, you were instructed to check your interpretation of the statement*** with your executive director, board of directors, or other administering body. ***If you have found your interpretation to be correct, check the source of the statement*** (e.g., legislation, directive from the board). Keeping this information in mind, ***develop appropriate strategies for modifying the mission statement, and record the group consensus below.***

_____

_____

_____

_____

_____

_____

Sharing Your Scores

In the individual preparation for this session you examined your managerial style by scoring and interpreting your responses to the style analysis, "Supervisory Attitudes: The X-Y Scale." At this point, some groups might enjoy discussing their scores, while others may prefer not to. ***As a group, decide whether or not you will share your scores. If you choose to discuss them, take no more than five minutes to do so*** before moving on to the next exercise. ***If you choose not to share your scores, proceed with the exercise on the next page.***

Appraising Organizational Characteristics

The ability of an organization to function well depends upon its effective use of adequate diagnostic information. Data dealing with end results such as productivity, costs, and profits, are insufficient. Organizations must also obtain measurements which reflect the current internal situation, i.e., the *state* of the system. This requires an analysis of such variables as loyalty, skills, motivations, capacity for effective interaction, communication, and decision making (Likert, 1967, 1976). ***In this exercise, you will identify the managerial system of your organization and discuss its implications.***

1. *Completing the "Profile of Organizational Characteristics."* ***Discuss the question on the profile on pages 3.20-21 as it relates to the current operation of your organization. For each item, reach a group consensus and place a dot on the line at the point which best describes your organization.*** If you have difficulty in choosing a single response, have members of the team give specific examples to clarify their positions. Treating each item as a continuous variable will enable you to choose discrete points within or between categories. ***After you have marked each item, connect the dots to reveal your organization's managerial profile.***

2. *Interpreting the profile.* ***Moving from left to right, the four response categories on the questionnaire represent the exploitative-authoritarian, benevolent-authoritarian, consultative, and participative managerial systems.*** These are not four discrete types of organizational systems; rather, they blend into one another and form a continuum with several intermediate patterns. Thus, while it is likely that the majority of the points on your organizational profile will reflect one managerial system, some points may deviate to the right or left of that system. ***By examining the profile your answers to the questionnaire have provided, decide which of the four systems most closely resembles your organization. Record your answers on the blank marked "management system" in the next step of this exercise.*** For a better understanding of your profile, refer back to the discussion of the various managerial systems on pages 3.8-3.9.

3. *Analyzing implications.* Now that you have determined how your organization manages its human resources, you might find it useful to examine the implications of its approach. The schools of thought that were the focus of the chapter you just completed—classical, management science, and human behavior—each represent a different orientation. ***Which school of thought seems to have had the greatest influence on your organization's management system? What is the highest order need or needs that your organization recognizes and/or seeks to satisfy in others*** (see Figure 1, p. 3.8)? ***What are the strengths and needs of the system used by your organization?*** Take about five minutes for this discussion and ***use the space below and on the next page to record the group consensus.***

Management system_____

School of thought_____

Highest order need(s)_____

Strengths_____

_____

Needs_____

_____

4. *Determining managerial effectiveness.* Is the type of management system revealed by your responses to the "Profile of Organizational Characteristics" compatible with the expressed needs and goals of your organization? Take a few minutes to ***discuss the effectiveness of your organization's management system. If you decide that the current system is not producing the desired results, develop two or three strategies for making appropriate adjustments.*** Keep in mind that a shift toward a different management system requires modification of *all* operating procedures. The system must maintain its integrity, even as it changes. ***Use the space below to record your strategies for change.***

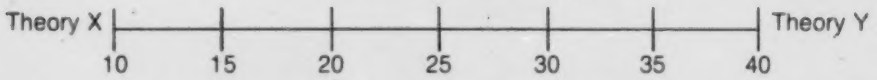
_____

_____

_____

Re-Examining the Manager's Actions

1. *Classifying the manager's style.* A multitude of factors influence the way managers manage. ***In the role play in Session 2,*** for example, ***managerial style as well as the agency's mission statement probably affected both the approach to the situation and its outcome. From your notes on page 2.13 and the chart on page 2.14, try to locate the manager's style on the X-Y scale.*** Consider whether the manager's underlying assumptions in handling the situation more closely match those of theory X or theory Y. Remember that the manager's approach may have shifted toward one extreme or the other as the role play proceeded. Take no more than five minutes and ***record the group's decision below.***



2. *Determining appropriateness.* Now take about five minutes to ***discuss whether this was the most appropriate style for this particular problem.*** Keep in mind that points on the X-Y scale merely provide a framework for interpreting managerial approaches; there is nothing inherently right or wrong about any point on the scale. Managers may utilize certain characteristics of each theory at one time or another. ***If you decide that the style used in the role play was inappropriate for the situation, choose an alternative style and justify your selection. Use the space below for notes.***

_____

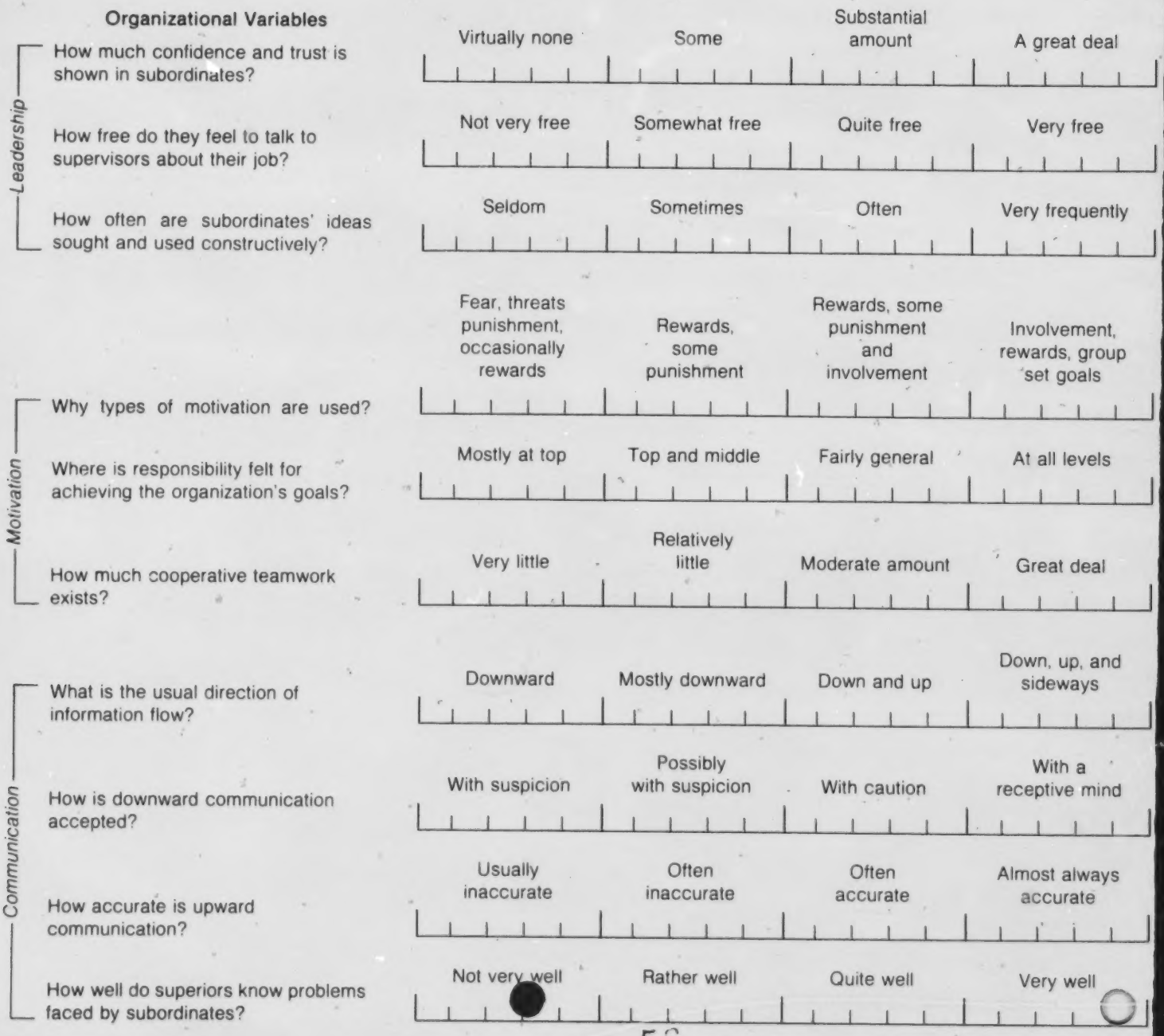
_____

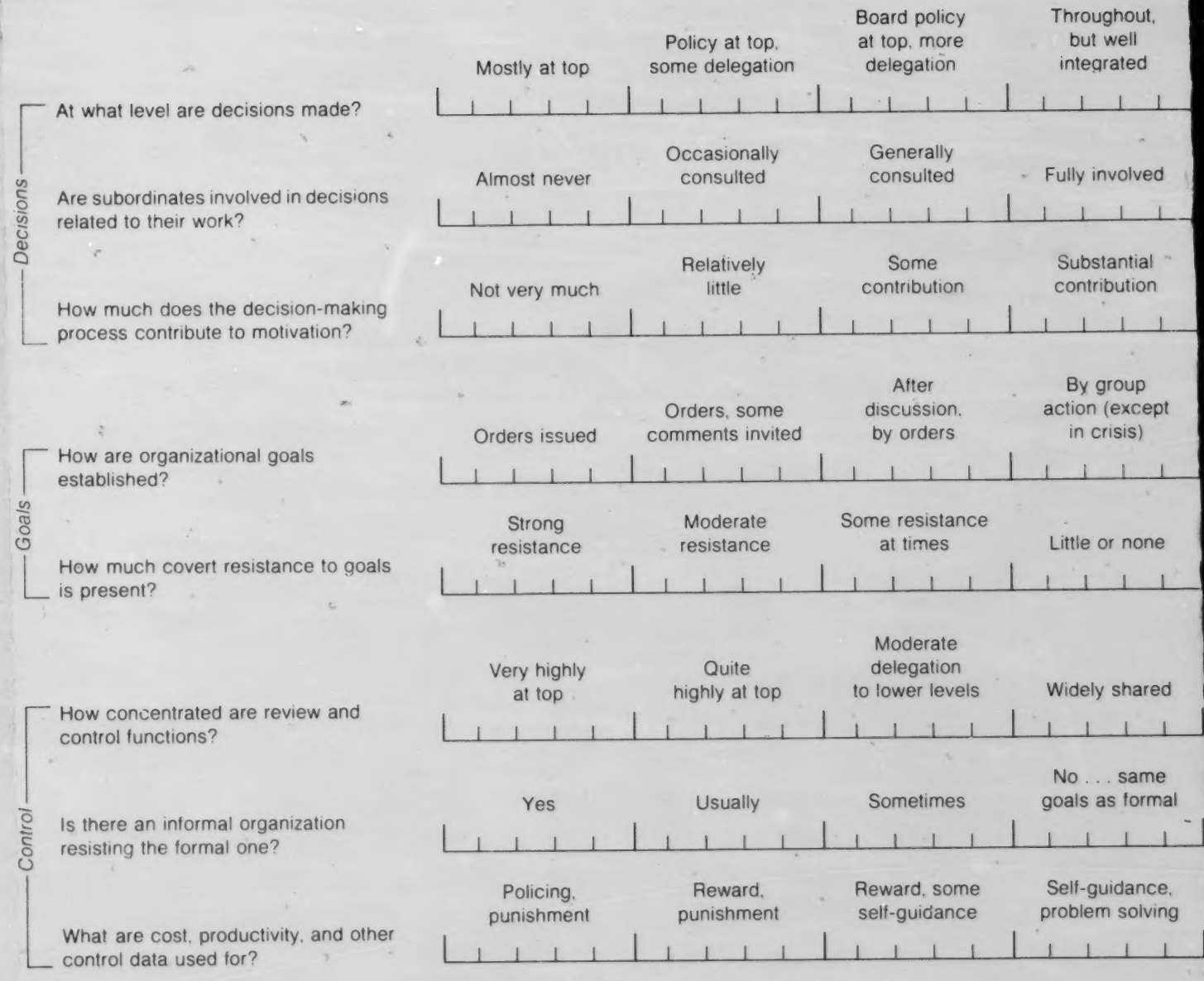
_____

_____

_____

Profile of Organizational Characteristics





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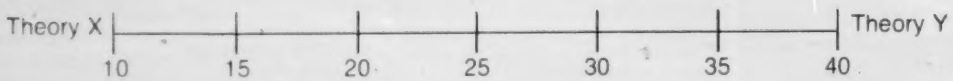
Evaluating Your Management Team

You are now at the end of your third group meeting. ***Take a few minutes to evaluate your team's performance up to this point.*** Think about each item below and discuss it as a group before deciding how it applies to your team. Although some of the items may resemble those on the "Profile of Organizational Characteristics," remember that your responses should pertain to your management team rather than to the entire organization. ***For each item, reach a group consensus and circle the appropriate point on the continuum.***

	Strongly disagree						Strongly agree
The team contains the appropriate number and type of managers to accomplish the tasks assigned in this training.	1	2	3	4	5	6	7
Each team member feels free to express his or her thoughts.	1	2	3	4	5	6	7
Each team member has a chance to contribute to discussions and decision making.	1	2	3	4	5	6	7
All team members are contributing relatively equally to the tasks the team has completed.	1	2	3	4	5	6	7
You are taking a team approach to problem solving.	1	2	3	4	5	6	7

Based on your responses to the items above, try to locate your team's management style on the X-Y scale.



Now that you have examined the way in which you have worked together as a participatory management team up to this point, take a few minutes to ***consider whether your team has been observing the guidelines for proceeding through this training package.***

	Yes	No
Are all team members reading the appropriate chapters in advance?		
Are all team members completing the individual preparation assignments?		
Are all team members reviewing the practical applications before the group meetings?		
Have the coordinators been prepared for their role as facilitators in the group meetings?		

Based on the two critiques you just completed, ***decide whether you, as a group, are satisfied with the way in which your team is working. If you are not, take a few minutes to discuss ways in which the team might improve.***

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.13 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "A Conceptual Model for Program Planning and Evaluation."*
3. *Complete the individual preparation section.*
4. *Review the practical applications.*
5. *If you are the Session 4 coordinator, pay special attention to the exercise that deals with the formulation of goals. During this exercise the group will follow a procedure which, although not complicated, is specific and sequential. Be thoroughly familiar with the procedure so that you will be able to guide the group smoothly through it. It is also important that you locate a blackboard or easel pad for this group session.*

Session 4

A Conceptual Model for Program Planning and Evaluation

Essential Elements 4.2
- Goals 4.2
- Objectives 4.5
- Strategies 4.7
- Evaluation 4.8

Client Impact on the Program Planning System 4.9

Summary 4.11

References 4.11

Individual Preparation 4.13

Practical Applications for the Management Team 4.17

Things to Do Before the Next Group Meeting 4.24

Staff's understanding of and commitment to an agency's philosophy and mission, coupled with a knowledge of management theory, contribute to a solid foundation on which to build an agency system of program planning and evaluation (PP&E). In this session some of the benefits of PP&E will be discussed, and a conceptual model will be presented. Essential elements of the model include:

Goals, which are based on an assessment of the agency's strengths and needs;

Objectives, which specify the steps toward reaching a goal;

Strategies, which tell how the objectives will be implemented;

Evaluation, which determines whether the strategies are being implemented and whether the objectives are being met.

The interrelationships between *individual* and *agency* program planning systems are described. Basic principles for developing an agency program planning system are presented.

In this session you will:

1. Develop a strengths/needs list;
2. Formulate goals and put them in priority order;
3. Select one goal and write several objectives for reaching it.

A Conceptual Model for Program Planning and Evaluation

Pamela A. Bernanke
Jerry D. Parham

Because planning is something we frequently do, often automatically, its basic tenets seem simple and self-evident. But the type of planning we most often employ is spontaneous and usually quite nebulous. In the rush of spur-of-the-moment decision making, crucial considerations often are overlooked or purposely bypassed "in the interest of time."

In an agency setting, for example, you may find yourself becoming reactively oriented as you jump from problem to problem within existing programs. This type of planning, at best, will meet only immediate problems and does nothing to bring about desired outcomes beyond the crisis at hand. Perhaps you feel you have no time for anything other than spontaneous decision making. Yet the busier you are and the more limited your time, the more you can benefit from a planning system geared to reach *clearly defined outcomes through specified means.* Gallagher, Surles, and Hayes (1973) identify three major advantages of such a system.

> *Providing a guideline.* Well-stated plans are an asset to project staff. Knowing the purpose and direction of a project reduces anxiety and facilitates decision making.
>
> *Supplying information.* Well-stated plans help prevent confusion by communicating project intentions to those not directly involved. The funding agency, those interested in replicating the project, and the clients who might participate are among those who would find a planning statement helpful.
>
> *Forming a base for evaluation.* Evaluation is necessary in order to determine a project's effectiveness; program planning provides the core for this evaluation process. Quite simply, if you can clearly define where you are going, it is much easier to tell if you have arrived.

In addition to providing these advantages to you, your staff, and ultimately to the clients your agency serves, program planning and evaluation (PP&E) helps meet legislative demands and various accreditation standards. For example, one of the prime concepts of the 1970 Developmental Disabilities Services and Facilities Construction Act (Public Law 91-517) is comprehensive planning of services and facilities needed by developmentally disabled individuals. In the context of this legislation, planning is conceptualized as a continuing process reaching from the state to local levels, and states are required to develop annually a comprehensive plan which reflects intensive involvement of agencies

and consumers. The same act requires that standards be established governing the scope and quality of those services and facilities. In keeping with an increasing emphasis on accountability, the 1975 Developmentally Disabled Assistance and Bill of Rights Act (PL 94-103) mandates the creation of statewide evaluation systems to monitor the appropriateness, efficiency, and effectiveness of services provided for the developmentally disabled population. The Rehabilitation Act of 1973 (PL 93-112) also includes evaluation requirements; its amendments, introduced in the U.S. Senate in February, 1978, have strengthened those concepts by proposing that all states be required to develop and annually reassess and update a long-range plan aimed at the provision of comprehensive services to all severely handicapped persons.

In addition to legislative mandates, accreditation requirements are stressing the need for PP&E. The Accreditation Program/Services for Mentally Retarded and Other Developmentally Disabled Persons (AP/MRDD) requires assessment of agency objectives as well as program standards and methodologies *(Standards for Services for Developmentally Disabled Individuals,* 1978). Likewise, the Commission on Accreditation of Rehabilitation Facilities (CARF) stresses the importance of the planning of new programs and facilities as well as self-evaluation and improvement of ongoing programs *(Standards Manual for Rehabilitation Facilities,* 1978).

Essential Elements

The PP&E system that is the focus of this training package provides a means of converting vague, spontaneous, reactive plans into well-defined, proactive ones. Desired outcomes, specific plans for reaching these outcomes, and a monitoring device all are built into the system through the development of goals, objectives, strategies, and evaluation procedures.

This type of program planning is most effective when carried out by a participatory management team. In most cases, the entire team develops the plan, but specific members are responsible for carrying out the strategies and evaluation and reporting back to the team. Revisions are then devised by the team in the same way that the original plan was formulated. Thus, program planning is a continuous activity, its success largely dependent upon the joint efforts of management team members.

Goals

Goals or goal statements serve primarily to highlight intentions. They tell, in a very general way, what will happen to a target population as a result of services delivered or other action taken. Because goals are intended only to give the broad direction of an agency or program, they usually are abstract and often based on value judgments. Although in most cases the executive director and the board of directors develop agency goals, suggestions from middle management staff are welcomed, if not solicited. In addition to enlarging the perspective of policy makers who frequently are isolated from the day-to-day concerns of the agency, this process gives managers a vested interest in seeing programs succeed and promotes their future cooperation. But even if you have no voice in developing the overall goals of your agency, you should at least be aware of them in order to insure that achievement of your program goals will bring the agency closer to fulfilling its mission.

Determining strengths and needs. An effective way for you, as a management team, to get involved in goal setting, is by developing a strengths/needs list for your agency or program (Houts & Scott, 1975). The *strengths* portion of the list focuses on which programs or portions of programs are exceptionally successful (and why), who in the com-

munity supports your activities, and which characteristics of your program and/or agency make it efficient and effective. Under *needs*, list areas in which you would like to accomplish more or new enterprises you'd like to undertake. At least some of your strengths and needs should be derived from the agency's mission statement, even if your list relates primarily to a single program or section rather than to the agency as a whole. A sample strengths/needs list appears in Table 1.

Table 1
Strengths/Needs List

Strengths	Needs
Successful programs, supportive community members, positive characteristics	*Areas in which to accomplish more; new undertakings*
1. Music therapy classes have resulted in improved communication skills in many clients.	1. Increase the number of clients seen each month
2. Mr. Thurston, a local bank president who has a developmentally disabled child, respects and supports the agency.	2. Establish working relationships with other agencies in the community
3. Good lines of communication exist between direct care staff and supervisors.	3. Cooperate with a newly-established advocacy system
4. Agency departments cooperate with one another.	
5. Staff member Elena Juarez knows several citizen advocates personally.	
6. An individual program planning system has been operating successfully for the past two years.	

In many cases, strengths and needs are related. In Table 1, for example, the fact that an influential person in the community is pleased with the work of your agency, and the fact that Elena Juarez knows several citizen advocates, may be useful in meeting the need to begin to cooperate with the newly-established advocacy system. Thus, goals often flow directly from needs, and strengths are usually helpful in developing strategies to meet those needs.

Developing a strengths/needs list not only helps get the entire management team involved, but also encourages team members to be positive and forward looking. Instead of asking you to list the policies you disagree with or the programs you think are ineffective, this process asks you to concentrate on how you would like to expand or improve current activities. For example, when asked to point out agency *weaknesses*, you might state that "the gaps in our service delivery system prevent us from providing a continuum of services." However, when asked to state an agency *need*, your response to the same concern might be the more positive statement, "We should develop a vocational evaluation and training program for clients aged 12 to 16."

In addition to an agency or program list, you also might consider developing personal strengths/needs lists, which would be helpful in setting career goals and in determining the best way to attain them. If the team is interested in each manager's personal goals, and is willing to work together in developing plans that are congruent with those personal goals, it's likely that more progress will be made toward achieving agency and program

goals as well (for a related discussion, see page 3.7). In general, the elements in personal program plans should be compatible with the items in the agency's program plans.

Formulating goals. Once the team has developed a strengths/needs list, goal setting will seem a much easier task. In keeping with the approach you took to developing a strengths/needs list, you should use positive language to state your goals. The goals should be realistic, and even though they should be stated in broad terms, they must be understandable to everyone who will be involved in working toward them. Based on your needs list, you should develop as many goals as you can, even though you will probably begin work on only three or four at first. In some cases, the needs statements themselves can be used as goals. In other instances, the needs statements should be rephrased and translated into goals. Sometimes several goals might even be developed from a single needs statement. Table 2 illustrates how a single need might be translated into several related goals.

Table 2
A Sample Need and Related Goals

Need	Goals
Area in which to accomplish more; new undertaking	*Show general intent and direction*
Cooperate with a newly-established advocacy system	1. To increase knowledge and support of the agency's philosophy and programs among the staff of the advocacy system 2. To increase mutual knowledge of each other's common goals among agency staff and advocates 3. To increase knowledge of the agency's services among the handicapped clients served by the advocacy system 4. To establish a communication system for ongoing exchange of information among the staff of the agency, the staff of the advocacy system, and the citizen advocates

Assigning priorities. To help you choose the goals you would like to suggest to your agency's policymakers, or the goals you would like to begin work on within your section of the agency, put the list you've developed in priority order. You might consider factors such as how soon the need should be met, what the consequences would be if it's not met (or not met soon), and how many people it affects. For example, if your agency is a residential facility in which the current growth in client population will soon render your facilities for preparing and serving food inadequate, updating and expanding these facilities would probably become a top priority goal. (The need is shared by every client in your agency, and if the need is not met, the clients' physical health would be endangered.) Another important consideration in determining priority order is whether or not the goal can logically be attained before others on the list are accomplished. Developing good working relationships with other service-providing agencies in your community, for example, may be a prerequisite for providing your clients with a continuum of services.

Including long- and short-term considerations. Once you have put the goals in priority order, you are in a position to choose the three or four you would like to begin work on first. Although you probably will choose goals that are high in priority, you also should try to include both long- and short-term goals in each program plan. While long-range goals give purpose and continuity to program plans over a period of years, short-range goals make progress easier to check and, when met, provide a sense of accomplishment for you, your support staff, and your clients. Of course, what constitutes a long- or short-term goal will vary from program to program. For example, a goal that could be met within six weeks would be a long-term goal in a two-month program but would be a short-term accomplishment in a program designed to take two years.

Obviously, goal setting is not always an easy task. There are many factors to consider and decisions often must be subjective. But involving the entire management team, developing a strengths/needs list, establishing priority order, and including both long- and short-term considerations will help insure that the program plans you develop will have a sound basis and thus will be likely to succeed.

Objectives

The next task in developing a program plan is to formulate *objectives*, the steps necessary to reach a goal. Whether they relate to agency goals or program goals, objectives are usually the responsibility of agency management and staff since they form the basis for an operational plan of action.

Objectives must be written in clear, precise language that indicates both measurable achievements and time limits for reaching them. They are the most crucial part of the program plan, for if they are well-stated they make it possible to ascertain, through various evaluation procedures, whether progress is being made toward reaching goals. If they are not stated in outcome-oriented terms, however, a great deal of confusion on the part of administrators and staff arises, and meaningful evaluation is all but impossible.

If you decide to develop a program of increasing cooperation between your agency and the newly-established advocacy system, and if one of the program goals is "to increase mutual knowledge of each other's common goals among agency staff and advocates," you would then need to develop several objectives to help you reach that goal (see Table 3). It would be tempting to use the same language for objectives that you used for your goal, but objectives must be much more specific than goals. A well-written objective must be *behavioral, outcome oriented,* and *time linked.* That is, it must describe a behavior that is observable and measurable, it must include a means of determining when that behavior is complete, and it must specify how long it will take.

To reach the goal in the example above, an administrator might resolve to be more friendly to representatives of the advocacy system. While the intent is commendable, this plan of action is not nearly specific enough to be effective. To translate the idea into an objective, you first need to state it in *behavioral* terms. The program planner and his or her staff must define "to be more friendly." Does this mean that they will not duck into a doorway the next time they spot a member of an advocacy group on the street? Does it mean that they will begin to include citizen advocates in their social gatherings? Obviously, it is difficult to measure or observe "being more friendly." However, when the objective is to "meet with a group of citizen advocates to discuss common goals," it will be easy to tell whether that has taken place. In some cases, it may be necessary to be even more specific

about who will be involved in the activity. In this example, the objective should specify whether the citizen advocates will be from the city, district, or state levels of the advocacy organization, and it also should indicate how many agency personnel will participate.

For an objective to be *outcome oriented,* it must include a means of determining when the behavior is complete. That is, what criterion must be met in order for it to be considered a success? In this case, the objective might specify how many goals the agency would present, how many the advocates would present, and what the result would be (e.g., a list of common goals).

The final requirement—to make the objective *time linked*—can be accomplished by specifying that the meeting will take place within a certain period of time. Although it is not necessary in this case, it is often helpful to specify the duration of the activity as well.

The entire objective—as a behavioral, outcome-oriented, time-linked statement—should read, "At a meeting within the next two weeks, three agency staff members and a group of citizen advocates from the city advocacy organization will present at least 80% of their respective organization's goals and develop a list of those which are mutual."

Just as it is possible to write many goals for one program, it is also possible to write a multitude of objectives for one goal (see Table 3). And while some goals may necessitate developing objectives with staff from just one agency division, others may require objectives from several diverse sections of your agency. To keep your program plan from becoming too unwieldy and confusing, you will find it helpful to sequence these objectives and put them in priority order, just as you did your goals. Once again, you may find it more profitable to concentrate resources on three or four objectives at first. If time, funding, and staff permit, you may work on additional objectives as your top priority objectives are achieved. Conversely, if any of these resources is cut back, you may have to eliminate several objectives.

Table 3
A Sample Goal and Related Objectives

Goal	Objectives
Shows general intent and direction	*Specify steps toward reaching goals; indicate measurable achievements and time limits*
To increase mutual knowledge of each other's common goals among agency staff and advocates	1. At a meeting within the next two weeks, three agency staff members and a group of citizen advocates from the city advocacy organization will present at least 80% of their respective organization's goals and develop a list of those which are mutual. 2. Within the next six months, agency staff will provide advocates with a background summary of 10% of the clients they have in common. 3. Within 3 weeks, each advocate will be able to describe the structure of the agency and its mission.

Strategies

Just as objectives are more specific than goals, so are *strategies*, the third element of the program plan, more specific than objectives. Objectives outline the steps necessary to reach the goal, while strategies outline the procedures necessary to reach the objectives. And just as there may be several objectives for one goal, there also may be several strategies for each objective. A schematic of this relationship appears in Figure 1.

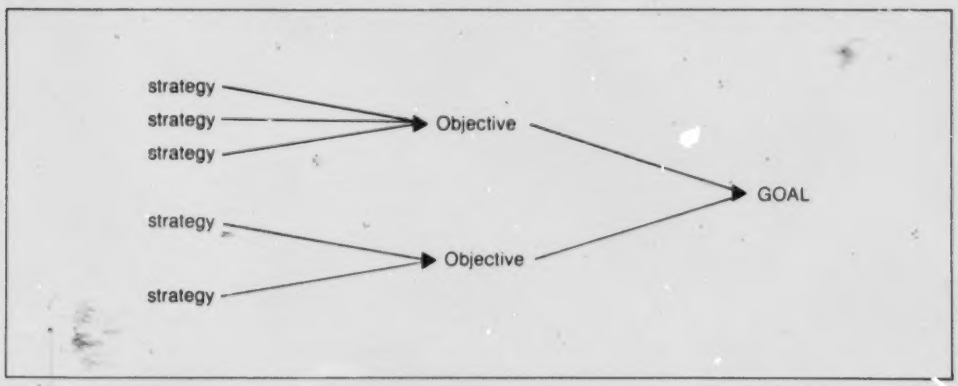


Figure 1. Relationship of goal, objectives, and strategies.

Strategy statements describe what will actually be done in a project. To be effective they must specify *who* will implement the strategy, *what* procedures or techniques will be used, *how* they will be implemented and *when* and *where* they will be carried out. The information in the strengths/needs list may be helpful in developing answers to these questions.

Following through on the previous example, it is now necessary to develop strategies for insuring that the meeting between agency staff and local citizen advocates will take place. If, by looking at the strengths portion of the strengths/needs list, you learn that a member of your staff knows several of the citizen advocates, you might decide that that person (who) should approach her friends on an informal level (how) about the possibility of a meeting (what). Since your objective states that the meeting must take place within the next two weeks, you should specify that the initial contact take place over the telephone (where) within the next two days (when). A second strategy, based on the outcome of the first, might involve a phone call the following day from the director of your agency to the person in charge of the advocacy group, suggesting a time and place for the meeting. As mentioned earlier in this chapter, even though the entire team will probably develop the strategies, it is important to designate one team member who will be responsible for seeing that they are carried out.

In Table 4, although the first and fourth strategies tell what staff will do and the second and third concentrate on what management will do, they are similar in that they are all strategies. They specify what procedures are necessary in order to reach an objective. And all of them are integral, complementary parts of any program planning system since action on several different levels is often required to reach a single goal.

But even though these strategies appear workable, there may still be barriers to achieving the objectives that have not yet been considered. For example, a newspaper article which quoted a member of the advocacy group as saying that your agency is "insensitive to the

needs of its clients" may have just appeared in the local newspaper. Obviously, some means of overcoming such a barrier must be incorporated into your strategy; the strengths/needs list, once again, may prove a helpful resource. The fact that your agency has an individual program planning system in which each client participates in developing his or her own program activities will be useful in countering the advocacy group's allegations. And since such individual client program plans are always written, progress is documentcd and can be shared with those who question services provided to a specific client or the agency's approach to all its clients.

Table 4

A Sample Objective and Related Strategies

Objective	Strategies
Specifies steps toward reaching a goal; indicates measurable achievements and time limits	*Specify steps toward reaching objectives; tell what procedures will be used, who will carry them out, as well as how, when, and where they will be accomplished*
At a meeting within the next two weeks, three agency staff members and a group of citizen advocates from the city advocacy organization will present at least 80% of their respective organization's goals and develop a list of those which are mutual.	1. Within the next two days, staff member Elena Juarez will telephone her citizen advocate friends and informally approach them about the possibility of a meeting. 2. The day after Elena has telephoned the advocates, the agency director will telephone the advocacy system director to establish a time and place for the meeting. 3. On the same day that the advocacy director is contacted, the agency director will call staff together to announce the meeting, specify a time and place, and designate which three agency staff will attend. 4. The day before the meeting is scheduled to occur, the three designated agency staff will meet together to review the meeting's purpose and to discuss how to present their agency's goals.

Evaluation

Evaluation is an integral part of any program planning system. In addition to being a mechanism for responding to external demands for information from funding and advisory sources, evaluation is a means of determining whether the program objectives, and thus the goals, are being achieved. Data gathered during evaluation can be translated into useful information which the management team, or even individual managers, will find useful in day-to-day decision making. Thus, evaluation is a continuous, proactive process which is built into the program plan and carried out as a legitimate management function.

Although the evaluative information required will vary based on decision makers' needs and purposes, evaluation generally falls into one of two categories, both of which are necessary in an effective monitoring system. *Process evaluation* focuses on whether *strategies* are being carried out. It is an ongoing procedure which requires monitoring project operations on a daily basis. A summary of this information can then be used as

a basis for the *product evaluation*—that is, for determining whether or not the strategies are helping achieve the project *objectives*. The product evaluation, then, is often a summary of process evaluations taken over a period of time; it usually indicates what a target population was like when a project began and what the population was like after the project was completed. In the example cited earlier, for instance, the process evaluation would involve determining whether the staff member approached her friend about the possibilities of a meeting and whether the agency director phoned the head of the advocacy group to arrange a meeting. The product evaluation would show whether or not a meeting was held and whether a list of common goals was developed (see Table 5).

By examining a well-constructed product evaluation it is possible to tell with certainty whether or not a particular objective has been reached. If it has, you are ready to move on to the next objective. If it has not, the next step is to examine the process evaluation related to that objective; that is, examine data concerning the various strategies you have employed in order to reach the objective.

If the strategies, and their evaluation, are both specific and clear-cut, it is possible to determine exactly what doesn't work. The management team can then make strategy revisions based on the information gained through evaluation. It is important to remember that there is no shame in having a strategy that doesn't work. Often there is no way to determine that until the technique is actually tried. There is shame, however, in making a strategy so vague, or trying so many things at once, that an adequate process evaluation—and thus revisions—cannot be made.

In summary, evaluation:

- Follows easily if clear and reasonable goals, objectives, and strategies are formulated;
- Not only helps monitor what is happening, but suggests alternatives and gives direction to strategy revision;
- Should consist of both product (objective) and process (strategy) components.

Evaluation will be discussed in greater depth in Session 7.

Client Impact on the Program Planning System

Two types of PP&E systems contribute to the overall mission of a center or agency. An *individual* program planning system is based on client goals formulated for each individual receiving services and contains elements parallel to those in the agency's overall program planning system (Parham, Rude, & Bernanke, 1977). An *agency* program planning system focuses on administrative goals, which usually are determined by management and relate to a *group* of individuals or to a program. Thus, client goals are dealt with in an individual program planning system, and administrative goals are the focus of an agency's overall program planning system. But the two systems are not mutually exclusive. They work most smoothly and effectively, in fact, when they complement one another—that is, when administrative systems provide support for individual client services, and individual goals are in line with overall program goals.

The two systems also are complementary in that a compilation of product evaluations gathered on many individual clients through one system may provide a base for evaluation of program goals through the other. Evaluating progress toward administrative goals and objectives primarily involves record-keeping and counting activities, which can be done fairly simply, provided that data on individual clients or cases are collected regularly. Suppose, for example, that you have formulated the following administrative objective:

Table 5

Process and Product Evaluation of Strategies and an Objective

Objective	Strategies	Evaluations
At a meeting within the next two weeks, three agency staff members and a group of citizen advocates from the city advocacy organization will present at least 80% of their respective organization's goals and develop a list of those which are mutual.	1. Within the next two days, staff member Elena Juarez will telephone her citizen advocate friends and informally suggest a meeting.	**Process** *(determines whether strategies are being carried out)* Memorandum from Elena Juarez to the agency director about the outcome of the telephone conversations
	2. The day after Elena telephones the advocates, the agency director will telephone the advocacy system director to establish a time and place for the meeting.	Personal message from agency secretary to all staff, telling them that a meeting between the agency and the advocacy organization has been arranged and informing them of a staff meeting to discuss relevant details
		Product *(determines whether objectives are being met)* Memorandum to agency director from the three designated staff, listing how many goals each group presented and what percentage of the organization's total goals these represent (includes a copy of the list of mutual goals)

"Within two weeks, 95% of the clients currently enrolled in the work activity center program will attend scheduled activities regularly and on time." If individual attendance records are kept as part of the evaluation procedure for each client, data from these records can be compiled to determine whether or not the administrative objective—regular and timely attendance of 95% of the clients—is being met. Individual evaluations, then, are often a prerequisite for program evaluations.

Summary

PP&E is a means of efficiently and effectively coordinating a variety of agency activities in order to reach a specified outcome. This system generally is aimed at producing change in a group of people and is most effective when utilized by a participatory management team. It requires that the team develop four integrally related plan components—goals, objectives, strategies, and evaluation.

Goals state the general direction of a plan or project.

Objectives specify behavioral, outcome-oriented, time-linked steps toward reaching a goal.

Strategies outline steps toward reaching an objective; they tell what procedures will be used, *how* they will be implemented, *who* will carry them out, and *where* and *when* they will take place.

Evaluation determines whether the strategies are carried out and the objectives are met.

Operating according to well-thought-out, written plans helps reduce staff anxiety and facilitates decision making by providing purpose and direction. Effective program planning also provides a base for evaluation, which generally is conducted in two stages. *Process evaluation* is an ongoing monitoring of day-to-day activities (strategies) in a project. *Product evaluation*, usually a summary of the process evaluations, is a means of determining whether or not project objectives are being met. These evaluation procedures should remain flexible enough to meet both internal and external requests for project information.

References

Gallagher, J. J., Surles, R. C., & Hayes, A. E. Program planning and evaluation. In *First chance for children* (Vol. 2). Chapel Hill, NC: The University of North Carolina, Frank Porter Graham Child Development Center, 1973.

Houts, P. S., & Scott, R. A. *Goal planning with developmentally disabled persons: Procedures for developing an individualized client plan.* Hershey, PA: The Commonwealth of Pennsylvania, 1975. (Department of Behavioral Science, The Pennsylvania State University College of Medicine, The Milton S. Hershey Medical Center, Hershey, PA 17033)

Parham, J. D., Rude, C., & Bernanke, P. *Individual program planning with developmentally disabled persons* (Rev. ed.). Lubbock, TX: Texas Tech University, Research and Training Center in Mental Retardation, 1977.

Standards for Services for Developmentally Disabled Individuals. Chicago: Joint Commission on Accreditation of Hospitals, Accreditation Program/Services for Mentally Retarded and Other Developmentally Disabled Persons, 1978. (875 North Michigan Avenue, Suite 2201, Chicago, IL 60611)

Standards Manual for Rehabilitation Facilities. Chicago: Commission on Accreditation of Rehabilitation Facilities, 1978. (4001 West Devon Avenue, Chicago, IL 60646)

Now that you have read this chapter, turn back to the checklist on page 3.23 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

In the practical applications for this session, your group will be asked to select an agency goal and develop objectives for it. In preparation for the group meeting, you, as an individual, should think about the strengths and needs of your agency and formulate some agency goals related to those strengths and needs.

Determining Agency or Program Strengths and Needs

1. *Developing a list.* If you are with a very small agency, or if the members of your management team hold agency-wide management positions, the strengths and needs you develop for this exercise will relate to the agency as a whole. For management personnel working in only one section of a larger agency, however, the strengths/needs list should be more narrow in scope. But even if your list pertains to only one section of the agency, at least *some* of the strengths and needs should be overall agency strengths and needs that relate to the agency mission statement. As explained in Chapter 4, it is important to take into account the agency's mission and its goals to insure that any program goals you develop are compatible. You may even find that agency strengths and needs are relevant to your program and are helpful in developing your program plan.

   Review the agency mission statement you wrote on page 2.12 and develop an agency or a program strengths/needs list, whichever seems most appropriate for your management team. Remember the guidelines for writing strengths and needs on pages 4.2-4.3. Be as comprehensive as possible. In your group meeting for this session you will be asked to form a group list based on the list you record below and on the next page.

Strengths	Needs
_____	_____
_____	_____
_____	_____
_____	_____

2. *Critiquing your list.* Critique your strengths/needs list by answering the following questions. Revise items on the list, if appropriate.

	Yes	No
Are both strengths and needs stated in positive terms?		
Do the strengths state:		
Which programs or segments of programs are especially successful and why?		
Who in the community supports your activities?		
Which characteristics of the agency and/or program make it effective and efficient?		
Do the needs relate to:		
Areas in which you would like to accomplish more?		
New enterprises you would like to undertake?		

Formulating Agency or Program Goals

1. *Conceptualizing.* Based on the strengths/needs list you just developed, formulate some goals for your agency or program. (Later in this manual you will have an opportunity to develop objectives, strategies, and evaluation procedures related to some of these goals.) Follow the principles for writing goals that are presented in this chapter on pages 4.4-4.5 and refer to Table 2 if you feel you need further guidance. Although you would ordinarily develop a longer list, you should formulate only three goals for the purposes of this exercise. Record your ideas below.

   _____

   _____

   _____

   _____

   _____

   _____

   _____

2. *Critiquing your goals.* Critique your goal statements by responding to the following questions. Rewrite your goals, if appropriate.

	Yes	No
Do your goals state the general direction of your agency or program?		
Are they consistent with your agency mission statement?		
Are they stated in positive language?		
Are they realistic?		
Although broad, are they understandable to all persons who might be involved in working toward them?		
Do they include both long- and short-range statements?		

Examining Personal Characteristics and Aims

In this exercise you will complete, on a personal level, the same process you just finished for your agency or program. Doing so will help provide you with a sense of direction and purpose as well as promote progress toward achieving agency goals.

1. *Determining strengths and needs.* In Session 3 you scored a supervisory attitudes questionnaire and determined where your managerial style falls on the X-Y scale (p. 3.14). Using this information and any other you consider relevant, develop a personal strengths/needs list. You may find it helpful to include general personality characteristics as well as specific management and program planning skills. The more candid you are, the more useful this exercise will be. You will not be asked to share this information.

Strengths	Needs

2. *Formulating goals.* Having developed a personal strengths/needs list, formulate some goals for yourself. (You may find it helpful to refer back to the personal training goals on page 1.9 and include here any that seem appropriate). Ideally, the personal goals you record below will be compatible with the agency goals you identified on page 4.15.

3. *Critiquing your personal strengths, needs, and goals.* As a final exercise before the group meeting, use the checklists on pages 4.14 and 4.15 to critique your personal strengths/needs list and goals.

Determining Strengths and Needs

In preparation for this meeting, each of you was asked to develop a list of your agency's or program's strengths and needs as you perceive them (pp. 4.13-4.14). ***Share your strengths/needs lists*** by having each group member read one item and then repeating the process until each person has had a chance to contribute his or her entire list. The coordinator or another group member should ***write each strength and need on the blackboard or large pad of paper,*** omitting only those that are obvious duplications.

Take time to ***discuss any items that need clarification.*** For example, if one person views "communication patterns among staff" as a strength and someone else views the same item as a need, each person should explain more specifically what he or she means. Perhaps one person is referring to communication among direct care staff, while the other is talking about communication between management and direct care staff. In that case, the item should remain listed as a strength and as a need, but it should be clarified in both places.

If there is still disagreement after clarification, the group should reach consensus on whether an item should remain unchanged or be rephrased, moved, or dropped.

Take no more than 15 minutes to list and clarify the strengths and needs each group member has identified. Make any necessary changes at the blackboard or easel. For future reference, ***record below and on the next page the group's composite list in its final form.***

Strengths	Needs
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

Formulating Goals

1. *Contributing ideas.* Before the group meeting, ***each of you was asked to formulate three agency or program goals (p. 4.15) based on the strengths and needs you had identified.*** As in the previous exercise, ***form a composite list by having the coordinator or another group member record on the blackboard or large pad of paper each person's goals,*** one at a time, until all are known. If needed, briefly discuss any items that need clarification. ***Reword any unclear statements, combine any overlapping items, and avoid obvious duplications.***

2. *Rating the goals.* Once the goals are clearly understood by the group, ***each of you should silently select the five you consider most important and record an abbreviated version of each one of them in the space below. Then rate your five choices*** by giving the one you consider most important a 5, the next most important a 4, then a 3, a 2, and a 1. ***Do not discuss your choices*** with others at this time. Take no longer than five minutes to complete this step before proceeding on your own with the next task.

Goal number (from list on blackboard)	Goal statement	Rating

3. *Critiquing your priorities.* Take a moment to ***critique your rating process silently. Did you consider the following factors in determining your priorities? If not, revise your ratings,*** if appropriate.

	Yes	No
How soon the goal needs to be met		
What the consequences will be if it is not met (or not met soon)		
How many people it affects		
Whether or not it can logically be attained before other goals are addressed		

4. *Reaching a group consensus.* Now that you've decided individually which goals are most important, you will use a nominal group process (Delbecq & Van de Ven, 1971) to reach group consensus on the issue. Although the coordinator will direct this process, ***each of you should fill in the chart on the next page for future reference. Remove the chart now*** and take no more than 10 minutes to complete the following steps:

   Goal number. ***In the first column on the priority setting chart, record by number the goals listed on the blackboard or large pad of paper.*** This will be very straightforward unless your group found it necessary to combine some of the goals on the first list. If you decided that goal 6 is similar to goal 2, and you combined them both into goal 2, for example, then the numbers you would enter in column 1 of the chart would be 1, 2, 3, 4, 5, 7, 8, . . .

   Ratings. ***In the second column on the chart, record the members' ratings of each goal.*** Begin by having each person report what rating he or she gave goal 1; then do the same for goal 2, and so on. Remember, since each person could vote for only five goals, if you have more than five goals on your list, everyone will not have voted for each one. In fact, there may be some goals for which no one voted. So don't be concerned if the number of ratings varies from one goal to the next.

   Sum of ratings. ***In the third column, record the sum of the ratings for each goal.***

   Number of group members. ***In the fourth column, record the number of group members who voted for each goal.***

   Score. ***In the fifth column, calculate a score for each goal by multiplying the sum of the ratings (column 3) by the number of persons voting for that goal (column 4).***

   Priority. ***In the last column, determine the priority ranking of each goal by assigning the one with the largest score a priority of 1, the next highest score a priority of 2, and so forth.***

   If two or more goals have the same score, try to decide as a group which is more important. (You may find that the number of "5" ratings or the number of group members who voted for each goal are helpful criteria.) The goal that loses should then be given the next rating.

5. *Recording group consensus.* The group has now developed a list of agency or program goals in priority order. Take a few minutes to ***verify the priorities with the group's impressions before recording the top three goals below.***

   First priority goal: _____

   _____

   Second priority goal: _____

   _____

   Third priority goal: _____

   _____

Goal Priority-Setting Chart

Goal Number (from list on blackboard)	Ratings	Sum of Ratings	Number of Group Members Voting for Each Goal	Score (sum x number voting)	Priority
Sample 1	4,5,4	13	3	39	1
Sample 2	2,2,1,3	8	4	32	2

Developing Objectives

1. *Selecting a goal.* In reality, at this point the group might decide to work on several high priority long- and short-range goals, with different people taking major responsibility for developing objectives for various goals. The group might then meet together to review each person's work. For purposes of this exercise, however, the group should ***select one of the top priority goals from page 4.20 to work with as a team. Try to choose one that will lend itself well to the development of objectives, strategies, and evaluation procedures.*** Take no longer than five minutes to ***reach a group consensus and record below the goal you have selected.***

_____

_____

2. *Writing objectives individually.* Take about five minutes to ***think silently and to individually jot down possible objectives for the goal you recorded above.*** Remember the principles for writing objectives that were presented on pages 4.5-4.6 as well as the examples in Table 3. ***Record your ideas below, but do not discuss them with other group members.***

_____

_____

_____

_____

_____

_____

3. *Developing objectives as a group.* ***Discuss your ideas*** for about five minutes, ***and as a group, agree on three objectives related to the goal above.*** Of course, in actuality the number of objectives for any goal may be greater or less than three; however, developing three objectives in this exercise will give you a reasonable amount of practice without being unmanageable. ***Record the group's three objectives below.***

_____

_____

_____

_____

_____

_____

4. *Critiquing the group's objectives.* As a final step in this exercise, ***critique your group objectives by reviewing the following checklist,*** which summarizes the principles for writing objectives that were presented in this session. ***If necessary, refine your objectives*** until all group members are satisfied with them.

	Objective 1		Objective 2		Objective 3	
	Yes	No	Yes	No	Yes	No
Are the objectives written in clear, precise language?						
Do they describe behaviors that are observable?						
Do they describe behaviors that are measurable?						
Are they outcome oriented?						
Are they time linked?						
Are they listed in sequence or in order of priority?						

Reference

Delbecq, A. L., & Van de Ven, A. H. A group process model for problem identification and program planning. *Journal of Applied Behavioral Science*, 1971, *7* (4), 466-492.

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.14 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "Guidelines for Effective Decision Making and Strategy Implementation."*
3. *Complete the individual preparation section.*
4. *Review the practical applications.*
5. *If you are the Session 5 coordinator, locate all information from previous exercises that is needed to complete the session you are coordinating. Copy the information into the practical applications section of Session 5 if the directions specify that it should be transferred, and be prepared to direct the group in filling in any that is missing or modifying any that is incorrect.*

Session 5

Guidelines for Effective Decision Making and Strategy Implementation

Decision Making 5.1
- The Initial Steps 5.1
- Determination of a Course of Action 5.3

Strategy Implementation 5.4
- Delegation of Responsibility 5.4
- Communication with Co-Workers 5.5
- Time Management 5.7
- Evaluation of Processes and Outcomes 5.9

References 5.9

Individual Preparation 5.11

Practical Applications for the Management Team 5.17

Things to Do Before the Next Group Meeting 5.22

Because decision making is an integral part of the day-to-day activity of managers, the ability to do it well is crucial. Whether it's what time to hold a staff meeting or a question of which clients to serve in what program, managers must be able to grasp the facts, weigh alternatives, and make choices. This session describes an approach to decision making that is especially useful in developing the strategy portion of the program plan and focuses on the factors that influence implementation.

In this session you will:

1. Learn what research says about time management concepts;
2. Complete a time control checklist;
3. Keep a time log of three days' activities;
4. Utilize the model for decision making presented in this chapter to develop several strategies.

Guidelines for Effective Decision Making and Strategy Implementation

J. Duane Hoover
Dean K. Koonce

The program planning and evaluation model described in the previous chapter is effective and useful only to the extent that it is implemented in a productive and timely fashion. Too often the "best laid plans go astray" because of faulty follow-through to the planning effort. Furthermore, just having good intentions is not enough to insure that plans will take effect. Good intentions must be complemented with quality decision making and effective strategy implementation.

Decision Making

Because decisions that affect the agency's ability to fulfill its goals and objectives are made on a daily basis, decision making is an essential skill for members of the management team. However, a distinction should be drawn between a decision and the decision-making process. A decision is a choice between a series of alternatives, while decision making is the entire series of actions that leads to finalizing a decision and implementing it. Often the decision-making process is called problem solving. Figure 1 diagrams this process, based on the goal/objective/strategy/evaluation model described in Session 4. Although it is more limited in scope, the model for decision making encompasses many of the same activities that are necessary for program planning and evaluation.

The Initial Steps

Formulating goals and selecting objectives. The first step in decision making is to define clearly and precisely the program goals and objectives, according to the principles set forth in Session 4. When this has been accomplished, the management team should select several objectives to be the focus of the decision-making process. If you are working on a continuing project and have evaluation data to consider, you may choose to revise old objectives, move to new ones, or both.

Collecting data. Once you have selected the objectives on which you will focus, you must collect data to answer the following questions:

What is the difference between the present situation and what should be done?

Why does the present situation exist rather than the desired one?

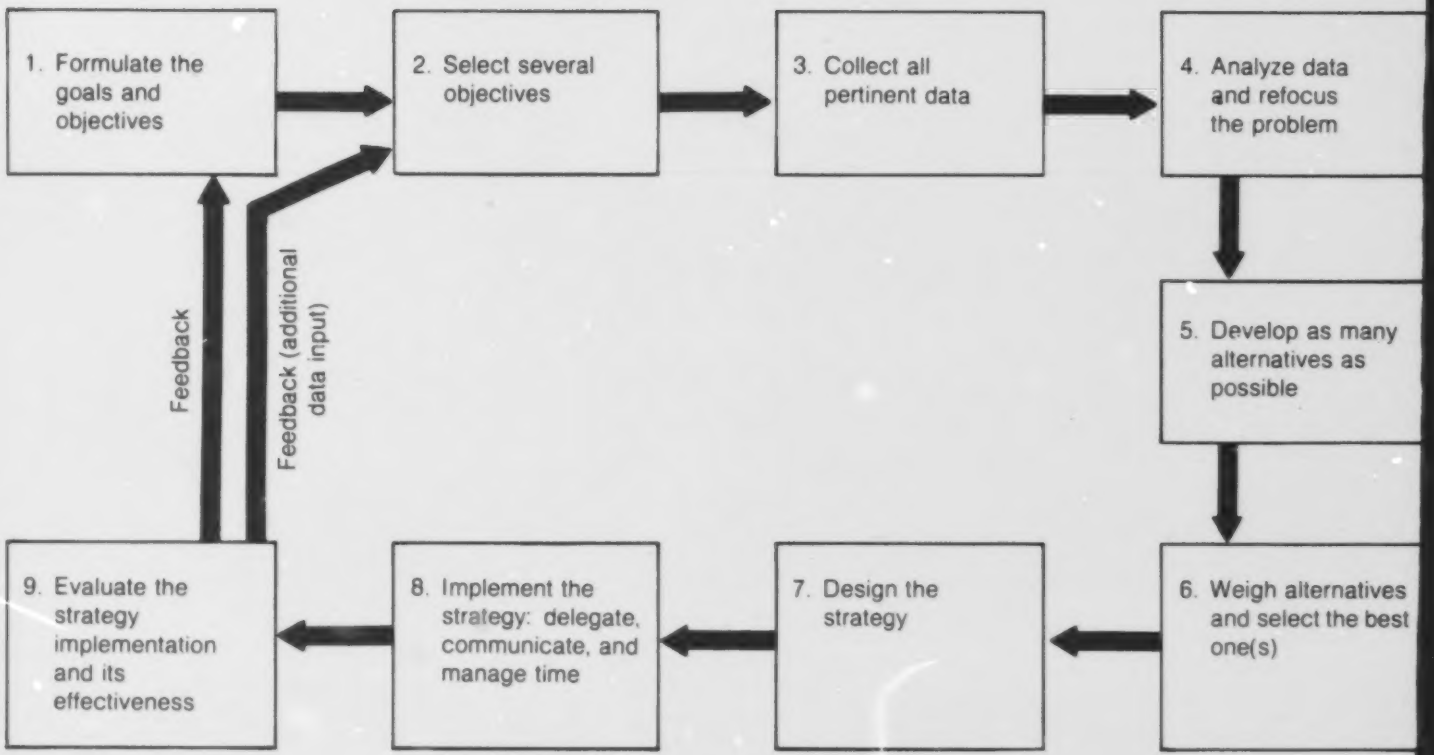

1. Formulate the goals and objectives
2. Select several objectives
3. Collect all pertinent data
4. Analyze data and refocus the problem
5. Develop as many alternatives as possible
6. Weigh alternatives and select the best one(s)
7. Design the strategy
8. Implement the strategy: delegate, communicate, and manage time
9. Evaluate the strategy implementation and its effectiveness
Feedback
Feedback (additional data input)

Figure 1. Model for agency decision making and strategy implementation.

Because it is essential that the team be familiar with every facet of the problem, you should collect information that seems only peripheral as well as that you feel is closely related. The peripheral information may be the very cause of the current situation, so don't overlook or exclude anything. The strengths/needs list is a good place to begin data collection.

Refocusing the problem. Once you have collected all available data, you must sharpen or refocus the problem by dividing information into two segments—those things that are the result (symptoms) and those that are the cause. Then, by focusing on the causes you have identified, you will prepare yourself for the next step—generating alternatives.

Determination of a Course of Action

Developing alternatives. At this stage it is important for the team to develop as many alternatives as possible without eliminating any avenues of pursuit before they can be evaluated, preferably by several individuals. Involve as many different people as possible and generate as many ideas as you can. Because differing perspectives are essential if you are to discover a wide range of alternatives, it is important to involve people and resources from outside as well as inside the agency. When addressing sources outside the agency, it may be best to conduct personal interviews with people in the community who are interested in the agency, including consumers. Those with major interests in the agency typically are pleased when they are consulted before major policies or projects are started, and such consultation can make it easier to enlist their support at a later time.

Practice and research have shown that the larger the number of alternative solutions available for analysis, the greater the potential for developing creative decisions. One technique which can be utilized to generate large numbers of alternative solutions was developed by A. F. Osborn. Known as "brainstorming," this technique is a freewheeling, non-evaluative process which, according to its originator, serves as a stimulus to the creative capacities of individuals assembled in problem-solving groups. In discussing the brainstorming technique, Osborn (1957) indicates that most individuals work more creatively in group settings than alone. Collaborative activity has a tendency to elicit additional efforts "and also sets up our automatic power of association" (p. 72). Accordingly, he suggests that an idea generated by one member of a brainstorming group serves as a stimulus to the production of additional ideas by other group members. The general procedure is for a group such as the management team, to consider a problem. During this process (Osborn, 1957):

> Criticism is ruled out. Adverse judgment of ideas must be withheld until later.
>
> Freewheeling is welcomed. The wilder the idea, the better; it is easier to tame down than to think up.
>
> Quantity is desirable. The greater the number of ideas, the greater the likelihood of winners.
>
> Combination and improvement are sought. In addition to contributing ideas of their own, participants should suggest how ideas of others can be turned into better ideas, or how two or more ideas can be joined into still another idea.

When a group of people has been gathered for the purpose of brainstorming, these rules should be enforced if the session is to be productive. Especially important is the suspension of judgment or criticism. In pausing to criticize, initiative and creativity are easily lost within the group. Also, evaluation can be threatening; it might cause group members to hold

back potentially productive ideas and could even result in hostility and division within the group. While no judgments, especially negative, should be allowed in the brainstorming session, a certain amount of spontaneous laughter and fun will and should occur.

A second general guideline for brainstorming is the "more the merrier." That is, the more ideas generated, the greater the probability of finding a "winner." Studies have shown, in fact, that the last ideas in a session generally are of higher quality than the first few. So encourage many ideas, even unusual ones. If the thought, as first expressed, is not the solution to the problem, it still may serve as the springboard for other ideas, which in part, or in combination, yield the final solution. To insure that ideas are not lost, a tape recording of the session may prove helpful.

The key to any brainstorming session is the leader. He or she should project a positive attitude toward the process, show a great interest in finding ideas related to the problem, be firm about the rules, and state a time limit (usually 45 minutes to an hour). Such procedures from an effective leader can make brainstorming both an enjoyable and a productive way of generating ideas about possible courses of action.

Weighing alternatives. After all possible alternatives have been suggested, the team must take the available alternatives and weigh them in light of the data analysis done previously. Then one alternative, or a combination of several alternatives, must be chosen for implementation. The alternative selected should be the course of action that provides the *greatest probability* of attaining the objective.

Designing strategies. When an alternative is chosen, details must then be designed to give substance to the decision. In general, strategies should specify *what* will be done and *who* will do it as well as *how, when, and where* it will be accomplished. The *when* portion of the strategy should contain a timeline which includes *deadlines* as well as *sequences of events.* Exact dates for both beginning and ending specific actions must then be communicated to all concerned parties.

Strategy Implementation

Once the management team has formulated the strategy, the implementation phase begins. Up to this point, the decision-making process has been basically analytical and has consisted mostly of ideas and opinions. The impact of the intended actions has either been somewhere in the future or in reference to imaginary people and events. But actual implementation of strategies occurs in the here and now; it deals with real events and real people.

Since implementation relies so much upon the human element, the team must at this stage move from the analytical perspective of planner into the challenging role of implementor by choosing one team member to see that each strategy is carried out. In order for implementation to be successful, this person must be able to delegate duties to direct service and other support staff when necessary, communicate with team members as well as with other staff, and manage time well.

Delegation of Responsibility

While effective supervision involves many of the concepts and skills outlined in Session 3, it also relies heavily on "the art of delegation" (Hoover, 1977b). A common management

mistake, especially for those new to management, is to assume tha. managers must do all the work themselves since they are responsible for all of it. Administrators often heap more and more work upon themselves, constantly look over others' shoulders, and try to be everywhere and do everything at once. Because they overload themselves in this manner, they reveal their inability to recognize that the art of managing involves getting things done through others. Although as a member of the management team you may be responsible for seeing that a strategy is implemented, that does not mean that you should do all the work yourself. It *does* mean that work should be delegated. By assigning job responsibilities to the individuals closest to the work, you allow for workers' development and growth, build the foundation for employee motivation, and develop a healthy work climate.

Delegation to competent and trusted staff, however, should not become fake delegation. When you tell a member of your staff to "do it yourself," you must mean it; you must not check up on that person or step in as soon as you feel things are not going well. Groups with such fake delegation often seem busy when the boss is around, but will "knock off" as soon as you leave. In short, fake delegation is one of the shortest paths to an unmotivated work group. The best way to avoid this common mistake is to realize that management is not only a question of getting things done *through* people, but also a challenge to get things done *with* them.

After you have decided to work *with* your staff, the question becomes one of what and how to delegate. According to Steinmetz and Todd (1975), you can and should delegate the following:

Activities that require primarily technical or mechanical skills;

Activities that fall within the realm of a staff member's traditional job responsibilities;

Activities which a staff member will be asked to do on a regular basis in the future;

Activities which will free the supervisor to perform other duties.

Part of the challenge of delegation is to insure that each person realizes that the responsibility as well as the authority to perform that job is his or hers. Managers who are used to holding the reins of control tightly find this task very difficult. Those who are able to delegate responsibility and authority, however, find more time to turn attention to the things that only they can handle.

Communication With Co-Workers

Communication is the transmission and reception of an idea or piece of information from one person to another, with the same understanding of meaning for both parties. For delegation to work, it is important that you, as a manager, communicate your intentions in such a way that staff truly understand the different responsibilities and authorities that each has.

Several methods may be used in communicating with direct care or other support staff who will be involved in strategy implementation. You may call them together to outline the strategy developed by the management team and to discuss scheduling and responsibilities, or you may talk with each individual independently. When communicating with staff at the beginning of a project, it is often helpful to speak with them verbally as well as to give them a complete outline of the plan. This will enable each individual to discuss and understand exactly where his or her job fits in the overall plan. A conscious effort to communicate also will let staff know where they can go for help and information if problems arise.

Communication efforts directed toward really understanding the other person require deliberate and continuous adoption of several communication skills and techniques (Hoover, 1977a). To communicate more effectively:

Produce honest and open communication sequences and share your feelings with "I" statements.

Illustrate the accuracy of your listening efforts by paraphrasing and using reflective statements such as "then you said . . . ."

Generate more emotion in communications by asking for feelings.

Create and maintain a climate which is as supportive as possible.

The creation and maintenance of a supportive climate is essential to effective supervision. This means attempting to reduce the defensiveness of those receiving messages or job assignments. Defensive people feel on guard and become so wrapped up in their own problems that they fail to perceive accurately the motives, thoughts, and emotions of the sender. Thus, relationships or organizations characterized by gamesmanship and politics often fail to produce honest and open communications. Levels of trust usually are low when defensive climates exist, and destructive and counterproductive conflict may prevail.

It is interesting to note the extent to which the organization of most agencies seems to produce defensive climates. The usual hierarchical arrangement produces "superiors" as well as "subordinates" who are intimidated by the power and resource control of their bosses. You, as a boss, can control such things as raises, promotions, work assignments, important job information, access to opportunities, and vacation schedules. Because you can affect them to this degree, your staff will always feel on guard with you and you will have to work that much harder in order to reach them. You *can* communicate and reduce the defensiveness of your listeners, however, by showing that you are willing to experiment with your own behavior, attitudes, and ideas. In order to build a supportive climate, take provisional attitudes rather than giving "answers," investigate issues without debate, and be willing to experiment and explore areas your co-workers suggest. This will show the recipient of your communications that he or she has some control over the shared quest for problem solutions. If a person is genuinely searching for information and understanding, he or she does not resent help or company along the way. Your supportiveness will naturally lead to a "mutual stake" orientation, which will, in turn, produce a group of "turned on" people actively and positively working in support of the agency and its program.

In summary, when communicating with others involved with strategy implementation in your agency, keep the following principles in mind:

Don't use terms or refer to information the other person might not understand.

Remember that words mean different things to different people.

Try to "share" yourself as much as possible. Let people know what you are thinking and what you are feeling.

Always try to obtain as much feedback as possible.

Listen actively rather than passively, and try to see the situation from the other person's point of view.

Always be sincere. Really care. Your actions will speak much louder than your words if you say one thing and do another.

Time Management

A final consideration for effective management in general, and for successful strategy implementation in particular, is how to find the time to do it. In other words, one key to your success is your ability to allocate and manage your time effectively. In order to examine your current time allocation, keep a time log through several days listing your activities and the time spent on each. Figure 2 is an example of the type of log that could be utilized for such a purpose.

Date	Time	Activity	Evaluation/Notes[a]
7/7/79	8:30	Morning mail	+
	8:36	Telephone call—Jim in purchasing	+
	8:39	Replied to morning mail	+
	8:53	Dave Little came by	— say good morning (chat)
	9:00	Telephone call from David Hall	— didn't need my approval
	9:04	Meeting (late) to discuss progress on grant proposal	+ 20 minutes[b] — 15 minutes
	9:40	Got out of meeting—coffee break	+ relax
	10:00	Finished dictating letters	+
	10:45	Meeting with Mayor to discuss grant and project proposal	+ 30 minutes — 15 minutes
	11:30	Lunch with District Attorney to discuss proposal, legal problems	+
	etc.		

[a]+Time used wisely; necessary time usage
—Time wasted or used poorly

[b]If only part of a meeting was a good usage of your time, indicate a positive (+) and a negative (—) time usage. Also indicate the approximate amounts of time for each.

Figure 2. Example of a daily time usage log.

After keeping a log for several days, determine how much of your time was spent effectively and how much of it was wasted. (In almost all cases, managers find many places where time was used poorly.) Once you have analyzed your time usage, answer the following four questions (Steinmetz & Todd, 1975):

Can the activity be eliminated, delegated, or assigned to anyone else?

Can the activity be combined with certain other activities so that some work can be avoided or reassigned?

Can the time required to perform an activity be in any way minimized or reduced?

Can the sequence of activities be changed to a more logical arrangement?

Most managers find four major time-wasting areas: drop-in visitors, telephone calls, report writing and reading, and meetings. If you are able to curtail time waste, you will find that your most important activities are accomplished on time and that you will have fewer last minute rushes. In general, the agency as a whole will become more effective and efficient.

Supervisors and managers have found several methods helpful in combating time waste. Having a secretary closely screen all visitors and calls can help in cutting down the social visits. The secretary's desk should be placed so that visitors cannot get by without checking first on your availability. The aid of the secretary also may be enlisted in screening all calls more closely. By finding out the nature of each call, the secretary can more closely regulate the number of interruptions. It never hurts to tell either a visitor or a caller that the boss is busy. It is much easier for the secretary to take a message and have you return a call than it is for you to regain your train of thought after talking about your recent family fishing trip with a drop-in visitor or caller.

Your secretary also can be helpful in cutting down the amount of reading and writing you do. If you allow your secretary to open and sort your mail, the material needing immediate action will come to your attention first. Also, some mail may actually need to be routed to another person to be answered. The secretary can and should do this for you.

Scheduling the day with "quiet hour" has proven effective for many people. This is a time when *all* visitors and phone calls are held. You are given an hour or more of uninterrupted time to concentrate and focus your energies on one subject. More work can be accomplished in a shorter amount of time. Some managers benefit so much from this at the beginning of the morning that they also have found it helpful to schedule a second quiet hour at the beginning of the afternoon.

Another scheduling method used by some individuals is to set aside a time for returning calls. By placing this time late in the business day, they allow themselves time to gather any additional information needed to answer the caller's question. The implementation of such time periods and the aid of your secretary can help you to use your time more effectively.

One of the most time-consuming tasks for many managers is report writing. If you can delegate this responsibility to other staff, you will have more time to devote to other areas. Only rarely should it be necessary for you to collect information and also prepare the first draft of a report. This can be done by a co-worker who is more knowledgeable than you about the specifics of a particular project; with the information at hand, he or she can provide a draft for your approval. In addition to freeing you to handle other responsibilities, this procedure allows another person to develop his or her skills and expertise.

Meetings are the final major trouble area for most managers. If you are not in charge of the meeting, your time is at the mercy of the person who is. If the meeting does not require your presence, it may be quite acceptable and advantageous to send another staff member who is handling all the information relative to the project or topic to be discussed. If you are chairing the meeting, three things are helpful in making sure that all the time spent in the meeting is profitable. First, start the meeting on time. If this is practiced constantly, people stop being late. Second, set a deadline for adjourning the meeting and stop on time. This helps in keeping "on track." Finally, print an agenda for the meeting and distribute it in advance. This informs everyone of the purpose of the meeting and the format that will be followed. All three of these will help the meeting run both smoothly and efficiently while also insuring that all necessary business is covered. (For additional guidelines, see the discussion of coordinator responsibilities in Session 1.)

Evaluation of Processes and Outcomes

To complete the decision-making and strategy implementation process, you must determine how well you are doing and have done. While the evaluation stage is necessarily the last discussed, it is certainly not the least important. Evaluation of your efforts is one of your most crucial tasks in implementation.

The essence of this process is *feedback*. For any system to operate properly, it must have readings on how well it is doing in terms of both its relevant external environment and its dynamic internal processes. A system without feedback cannot regulate its performance. The same is true for your agency. The following questions can be used as guidelines and a rough checklist for your strategy (process) evaluation efforts:

Have your decisions been carried out as designed?

Have you highlighted new needs?

Have you identified and listed all important deviations from your strategies?

What should be ignored, corrected, bolstered?

What corrective actions are necessary?

What sources of help can be identified and enlisted in your corrective efforts?

Finally, notice that the strategy evaluation in Figure 1, through the questions it raises, channels back into both step 1 (formulating goals and objectives) and step 2 (selecting objectives). As described in the previous session, strategy (process) evaluation is often the basis for product evaluation, which tells whether goals and objectives have been met. Thus, evaluation provides feedback and additional information which insures the continuation of the decision-making cycle.

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Steinmetz, L. L. & Todd, H. R. *First-line management*. Dallas, TX: Business Publications, 1975. (13773 North Central Expressway, Dallas, TX 75231)

Now that you have read this chapter, turn back to the checklist on page 4.24 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

Despite good intentions and well-constructed strategies, your programs will not progress if you don't manage your time wisely. Using time effectively is a skill that can be learned and improved. Furthermore, you can combine effective time management with concern for people; one does not necessarily exclude the other. This individual preparation section will give you an opportunity to sharpen your understanding of time management concepts as well as to examine your own effectiveness in managing time.

Understanding Time Management Concepts

This session has pointed out the importance of effective time management and has described four primary time-wasting activities. Numerous studies of managers and the way they approach their jobs have established certain facts about time management. Assess your grasp of time management concepts by responding "true" or "false" to the 10 items below and on the next page. After responding, check your answers with those on page 5.13.

What Does Research Say About Time Management Concepts?[1]

T F 1. Telephone conversations in excess of 10 minutes frequently suggest there is over-communication.

T F 2. The most active executive gets the most done.

T F 3. Research indicates that delaying decisions improves the quality of the decision.

T F 4. The executive with an "open door" policy improves work results.

T F 5. Decisions made at the lowest level are generally the best decisions.

T F 6. Most executives are overworked.

T F 7. When a series of similar crises occur, it often suggests that persons are not in control of their jobs.

T F 8. Delegation of authority by an executive to a staff member transfers the principal responsibility for getting a job done to the staff member.

[1]Reprinted, with changes, from *Time of Your Life Program: Effective Time Management Guidebook*, by Joseph F. Lagana (Wexford, PA: Time of Your Life Program, 1977), p. 10, by permission of the author.

T F 9. Putting a time limit on meetings increases meeting effectiveness.

T F 10. Use of the telephone is a reasonable alternative to a letter.

Assessing Your General Effectiveness in Managing Time

Busy managers can let demands on time determine how they spend their time, or they can determine which demands should have priority and decide for themselves how their time will be spent. In other words, managers can either control their jobs or have their jobs control them.

1. *Completing the checklist.* To assess how effectively you generally manage your time, respond to the following checklist by checking the column on the right which best describes your behavior with regard to each statement.

Time Control Checklist For Managers[2]

	Always	Sometimes	Never
1. Do you keep in mind the cost of one hour of your time?	___	___	___
2. Do you weigh the time requirements of a task prior to assigning the task to others or undertaking it yourself?	___	___	___
3. Do you jot down ideas and important facts when they come to mind, rather than relying on memory?	___	___	___
4. Does your paperwork take up a minimum portion of your work day?	___	___	___
5. Do you use "stock paragraphs" in your letters to cover "stock" situations?	___	___	___
6. Do you give explicit directions when assigning tasks?	___	___	___
7. Do you have your secretary maintain a monthly/yearly calendar of events for which you will be involved?	___	___	___
8. Do you brief your secretary weekly on your schedule of events?	___	___	___
9. Do you use periodic meetings or individual conferences with staff members for setting objectives and goals and reviewing their performances?	___	___	___
10. Do you "handwrite" a note of appreciation or recognition periodically to staff members for an outstanding achievement?	___	___	___
11. Do you approach major decisions with a problem-solving attitude (identifying the problem clearly, listing alternative solutions, and analyzing each solution in terms of its consequence)?	___	___	___

[2]Reprinted, with changes, from *Time of Your Life Program: Effective Time Management Guidebook*, by Joseph F. Lagana (Wexford, PA: Time of Your Life Program, 1977), pp. 25-26, by permission of the author.

	Always	Sometimes	Never
12. Do you know when you are procrastinating?	___	___	___
13. Do you limit time spent with each visitor (expected or unexpected)?	___	___	___
14. Do you anticipate possible problems and devise strategies to prevent them?	___	___	___
15. Do you maintain close control of your telephone conversations?	___	___	___
16. Do you make the best use of others' time at meetings and conferences?	___	___	___

2. *Scoring and interpreting your responses.* Now score your checklist according to the directions below. Your score will give you an indication of whether you control your job or your job controls you.

   Count the number of checks placed under the "always" column and multiply by 5. _____

   Count the number of checks placed under the "sometimes" column and multiply by 3. _____

   Total the results of the two numbers above. _____

   If your total score is between 61 and 80, you control your job. If your total score is between 41 and 60, you have responsibilities in fair perspective. If your score is between 0 and 40, your job controls you.

Analyzing Your Specific Approach to Time Management

Most managers need to gain better control over their time and their jobs. Now that you have a general index of your effectiveness in managing time, examine specifically how you spend your time during some sample work periods. Use the charts on the following pages to keep a time log, as described in this session, for the next three days. Although this task may seem tedious, most people find that time logs are useful tools for examining and improving themselves. Furthermore, it is important that you complete these logs at this point in your training since you will be asked to use them in a later session.

Follow the scoring procedure explained in the chapter on page 5.7. If you need more space, make additional charts and insert them in your notebook.

Checking Your Responses to the Research Questionnaire

The answers to the questionnaire on pages 5.11-5.12, "What Does Research Say About Time Management Concepts," are as follows:

1. False
2. False
3. False
4. False
5. True
6. False
7. True
8. False
9. True
10. True

Time Log

Date	Time	Activity	Evaluation/Notes

Time Log

Date	Time	Activity	Evaluation/Notes

Time Log

Date	Time	Activity	Evaluation/Notes

Selecting an Objective

In Session 4 you completed the first steps in the decision-making process by formulating goals and objectives. ***Through group consensus, choose one of your objectives from page 4.23 to work with in these exercises.*** It should be one for which several strategies can be developed. The group work will be more enjoyable if the objective you select also is one for which the group members feel some interest and enthusiasm. Take a moment now to choose an objective and ***record it below.***

_____

_____

_____

Collecting Data

The next step involves collecting data that seem both pertinent and peripheral to the problem addressed by your objective. You may find the strengths/needs list you developed on pages 4.17-4.18 a helpful starting point. Take about five minutes to complete this exercise. ***Begin by recording below the need or problem which the objective addresses.***

_____

_____

_____

_____

_____

_____

Now ***list any facts that relate to this problem or need.*** Try to sort the facts into things that are the result of the problem and things that may be the cause.

Results	Causes

Refocusing the Problem

Now that you have collected data, you are in a position to answer two basic questions posed by the existence of the problem. As a group, ***combine and evaluate the results and causes you listed above, and think about their interrelationships and implications.*** Take no more than five minutes, and ***record the group consensus below.***

What is the difference between the present situation (baseline data) and what should be done (the objective)?

Why does the present situation exist rather than the desired one?

Developing Alternative Strategies

Based on the additional insight you've gained about your objectives, ***hold a brainstorming session to develop strategies*** for meeting it. Generate as many ideas as possible. Suspend judgment of others' ideas for the duration of this session and let your own creative processes go. The wilder the idea the better, so don't be afraid to say whatever comes into your head. Also, ***listen carefully to what other group members have to say and be ready to offer ideas for improving, expanding, combining, or otherwise modifying their ideas.*** In developing ideas, remember that action on several different levels is often necessary to achieve an objective. Although 45 minutes to an hour is ideal for this type of session, you have other tasks to complete in this practical applications section and therefore can take only 10 minutes.

Before beginning your brainstorming session, refer back to the rules given on pages 5.3-5.4. Have the coordinator ***take notes at the board or on a large pad of paper*** so that everyone will be able to see the results of the session, and ***use the space below for personal notes if you wish.***

Weighing Alternatives

1. *Recording selections.* Ordinarily you would need to consider the advantages and disadvantages of each of the ideas developed during the brainstorming session. For the purposes of this exercise, however, you should select four as those most likely to lead to achieving your objectives. Once again, you may modify the brainstorming ideas in any way you wish. *Flexibility* is the key word in strategy development. But remember that only outlines are necessary at this point. You will add details once you've selected the general courses of action you wish to pursue. As a group, ***discuss the brainstorming alternatives and record briefly your four top choices on the chart on the next page.*** (You may find it helpful to remove the chart from your book.)

Relative Merits of Alternative Strategies

Alternative Strategies	Advantages	Disadvantages

2. *Determining pros and cons.* Now ***discuss the advantages and disadvantages of each alternative you've listed and record them on the chart.***

3. *Making the final choice.* The number of strategies you decide to use will, of course, vary from objective to objective. For the purposes of this exercise, however, ***weigh the advantages and disadvantages and choose two strategies. Put "checks" beside the group's choices.***

Designing Strategies

Based on the principles of strategy development in Session 4 (pp. 4.7-4.8), ***fill in the details of the two strategies you've chosen.*** The coordinator should ***write on the blackboard or large pad of paper as the group members work together.*** Then ***individually record your objective and strategies on the chart below.***

Objective (p. 5.17)	Strategies

Critiquing Strategy Design

Now *critique the strategies you developed in the previous exercise by answering the following questions.* Take about five minutes.

	Strategy 1		Strategy 2	
	Yes	No	Yes	No
Did you specify what *will be done?*				
Did you specify who *will do it?*				
Did you consider the principles of delegation (p. 5.5) in deciding who is to implement the strategy or portions of it?				
Did you specify how *the strategy is to be implemented?*				
Did you specify when *the strategy is to be implemented?*				
In specifying when, did you develop a timeline that indicates beginning and ending dates for specific actions and sequences of events?				
Did you indicate where *the strategy is to be implemented?*				
Did you specify which member of the management team is to be responsible for seeing that the strategy is implemented?				

Note that in order to complete the decision-making process outlined in this session, it is necessary to develop evaluation procedures for your strategies and determine whether you are reaching the desired outcomes. Evaluation will be dealt with in more detail in Session 7 and you will have an opportunity to evaluate your strategies at that time.

To complete this group session, ***if your answer to any of the critique questions above was "no," revise your strategies*** at this time to include the missing elements and ***record the changes on the chart on page 5.21.*** Depending on the number of revisions you must make, this process should take about five minutes.

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.14 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "Budgeting."*
3. *Complete the individual preparation section.*
4. *Review the practical applications, but do not read the critique on page 6.24 since that could bias your participation in the group exercises.*
5. *If you are the Session 6 coordinator, locate all information from previous exercises that is needed to complete the session you are coordinating. Copy the information into the practical applications section of your session when necessary, and be prepared to alert the group to any that is missing or incorrect. You also should arrange to bring a calculator. Although the computations you'll be required to make are simple, time is limited and a calculator will help you complete the exercises more quickly.*

Session 6

Budgeting

Purposes of Budgets 6.1
- Funding Requests 6.1
- Planning 6.2
- Management Control 6.3

Types of Budgets and Budgeting Systems 6.4

Budget Planning 6.7
- Prerequisites 6.7
- The Role of the Manager 6.8

Budget Development 6.8
- Staff Utilization Reviews 6.9
- Classification and Functional Job Descriptions 6.9
- Cost Analysis 6.9
- Organizational Communications 6.10
- Alternative Budget Amounts 6.11

Budget Review and Implementation 6.12
- Internal Budget Reviews 6.12
- External Budget Reviews 6.13
- Implementation and Management Control 6.14

References 6.14

Individual Preparation 6.15

Practical Applications for the Management Team 6.17

Things to Do Before the Next Group Meeting 6.25

Just as it is important to manage human resources within an agency, it is essential that managers know the basics of managing their financial resources. No program operates on unlimited funds; administrators must not only achieve their goals and objectives, but they must do so in the most cost efficient manner. This session describes several types of budgeting systems and explains how managers can utilize them in the program planning and evaluation process.

In this session you will:

1. Develop performance budgets for several strategies.
2. Use a planning-programming-budgeting system to make decisions about how to reach an objective.
3. Complete a line item budget.
4. Discuss your program's approach to budgeting and your role in budget development.

Budgeting

Daryl B. Dorcy

Webster defines a budget as a plan or schedule adjusting expenses during a certain period to the estimated or fixed income for that period. Following this standard definition in its 1968 book, *Governmental Accounting, Auditing, and Financial Reporting*, the National Committee on Governmental Accounting defined a budget as "a plan of financial operation embodying an estimate of proposed expenditures for a given period of time and the proposed means of financing them" (p. 5). Both definitions suitably describe the inherent features of a budget as a plan attempting to corral, limit, or fix otherwise unknown quantities of income and outgo. However, these definitions are becoming increasingly outmoded.

Today, a budget often includes the essential outline plans of the organization's operational or production goals, objectives, strategies, and evaluation procedures. Frequently, these parts of the plan are stated in terms of expected accomplishments for the amount of funds budgeted. In this manner, executive management and budget reviewers are provided a ready comparison of the operational plans and the financial plans necessary to achieve the mission.

Purposes of Budgets

Practically speaking, nearly all budgets fall into either of two categories of use and most often will be found in both. First, some organizations develop and use a budget for external purposes only (e.g., a request for funding from another agency). After this purpose is fulfilled, the budget may be shelved. Second, organizations may develop and use a budget either for internal planning and program implementation and/or for management control purposes. However, in most organizations, and certainly in all public agencies, the budget is often used for both purposes: *funding requests* and *planning/management control.*

Funding Requests

Governmental service agencies and nonprofit organizations are ordinarily involved in a legalistic procedure in adopting the budget. The need to acquire funds from taxing authorities for public purposes carries with it the responsibility to follow the budgetary development requirements of the particular body with appropriative powers. This procedure normally requires completing the budget on forms prescribed by the city, county, regional, state, or federal agency; utilizing a process dictated by that agency; holding public hear-

ings on the proposed budget; and undergoing external budget review before adoption becomes final and funds are appropriated.

Seeking public funds from governmental agencies places considerable limitations on the type of budget and budgetary system an organization may choose. The commitment to a particular funding source's prescribed budget system may preclude the organization from translating that budget into a form more suitable to its internal needs. Further, some budget requirements of governmental funding agencies prescribe a detailing of objects of expense that may be significantly different from the organization's internal accounting system. The close correlation of objects of expense to those objects recorded in the internal accounting system is a prerequisite to internal management use of an operating budget.

The principal use of a budget as a request for funds is the transmission of a complete operations plan detailing proposed expenditures and expected operational accomplishments as a justification to the funding agency. Frequently, if the grant or appropriation is approved, the funding authority will expect the organization to expend the money as detailed in the submitted budget and will place further restrictions on any requested changes in the planned budget.

Most funding authorities require an audited accounting of expenditures. For organizations with funding from several different sources, this often requires either separate bank accounts for each grant with separate ledger records, or sophisticated fund accounting methods capable of separating expenses by source of financing.

Planning

Two important aspects of planning relate to the use of budgets: *estimating revenues* and *improving the efficiency and effectiveness of operational outputs.*

Estimating revenues. The process of budgeting should enable the program and executive managers of the organization to insure that they have the financial resources necessary to carry out their programs. Organizations approach the estimation of revenues, or funds required, differently. Some will first identify existing expenditures and then look to available sources to finance that level or more. Others will undertake varying degrees of sophisticated cash forecasting to determine available funds and then plan expenses. R. E. Herzlinger (1977) concurs with the latter approach in her recommendation that agencies

> start the process with an estimate of revenues and then . . . match expenses to the revenues. Most organizations reverse this process, budgeting expenses first and then matching revenues, wishfully, to expenses. In health organizations, the calculations of patient care revenues and expenses are interdependent and care should be taken to insure that all allowable avenues for maximizing reimbursement are explored. (p. 41)

The planning or estimating of revenues may involve nothing more than a basic estimate of inflationary impact or expenditures. However, such planning can only be limited to situations where the basic operating levels are expected to remain fixed and other cost items such as the number of personnel, operating space required, and travel amounts remain the same as in prior periods. More often than not, some operations changes are anticipated which will have a variable impact on expeditures and therefore on revenue requirements.

Revenue-producing centers—such as health clinics receiving partial or full service fees from clients, or vocational workshops for retarded persons which generate income from sales of client-made products—must be analyzed carefully to understand the variables involved in the earnings levels. For example, an increase in clients served might generally be expected to result in an increase of revenues earned. However, many other factors affect the result. The rates charged to clients have impact on the amounts earned. The ability of clients to pay, third-party reimbursement schedules, and overhead cost ratios all bear on earnings to be expected. Unless the source of revenue is fixed by a granting agency, most often revenue estimating as a planning function of the budget should be left to the chief fiscal officer of the organization. The program manager, however, will be called upon to explain fully all service or client variables he or she may expect. This communication between fiscal officer and program manager is critically important and will be discussed more fully later in this chapter.

Improving operations. One of the most important purposes of a budget is to assist the organization to achieve better planning of its current operations. It provides individual managers the opportunity to think thoughtfully and analytically about the effectiveness of the operations for which they are responsible and to develop plans for improving the operational results. For example, client caseloads must be determined for the budgeted period. Variations in the kinds or types of clients to be served must be accounted for. All methods by which the service is provided should be examined by the manager to determine if savings can be realized, efficiency increased, or quality and effectiveness improved. From this examination, the program managers may begin a "bottom-up" participation in the development of the goals and objectives of the organization. Frequently, executive management does not have a close understanding of the daily operating variables at the program level, and therefore, in order to establish realistic goals, objectives, strategies, and evaluation procedures, must rely on the input of the program managers.

Management Control

Complete, comprehensive planning and evaluation provides the basis for the management control function of the budget. According to Brink, Cashin, and Witt (1973), this management control process consists of the development of objectives, the measurement of results, comparisons of actual performance against objectives, analysis of the causes of differences, determination of appropriate managerial actions, the taking of action, and continuing reappraisal. The identification of revenues needed to support operations which are clearly defined provides executive management the ability to hold program managers accountable for expenditures and performance achievement.

Because management control of key costs in an operating budget is of concern to everyone in the organization, it is a basic requirement that the budget structure be the same as that of the accounting system. If the financial group is reporting expenditures to executive management on the basis of separate objects of expense such as purchase of automobiles, trucks, vans, carriages, etc., while program managers are budgeting costs on the basis of "rolling stock" purchased, higher level management has little ability to compare costs. Thus, without comparisons of the planned budget items to periodic expenditure reports, management has only limited ability to control such key operating costs as personnel, travel, and equipment. The approved annual budget acts as an expenditure authorization control. That is, if the addition of a caseworker to the payroll is not in the budget, the program manager does not have the prior consent necessary to hire.

A second means of management control is built into the relationship between the budget and the objectives of a program. Product evaluations provide management with current information relative to achievement of operational objectives and also to earnings of the revenue-producing centers. Often in human service organizations, one operating unit is dependent on the performance of other units. For example, an admissions/screening unit of a hospital, outpatient mental health center, or mental retardation program will have a significant impact on the performance of the other service units. If admissions increase dramatically, so may the associated costs of screening clients. As costs increase, management must decide whether funds can be pulled from other units or whether they must order a slowdown in the admissions process. Management control of both costs and objectives is therefore interdependent in the operating budget.

Types of Budgets and Budgeting Systems

In Appendix A of the GAAFR (1968, pp. 171, 166), the National Committee on Governmental Accounting defines the three recognized types of operating budgets as follows:

> *Traditional budget.* A term sometimes applied to the budget of a governmental unit wherein expenditures are based entirely or primarily on objects of expense.
>
> *Program budget.* A budget wherein expenditures are based primarily on programs of work and secondarily on . . . object. A program budget is a transitional type of budget between the traditional . . . object budget, on the one hand, and the performance budget, on the other.
>
> *Performance budget.* A budget wherein expenditures are based primarily upon measurable performance of activities and work programs. A performance budget may also incorporate other bases of expenditure classification, such as . . . object, but these are given subordinate status to activity performance.

The *traditional* or *line item budget* emphasizes the planned input of resources for a given organizational unit in terms of objects of expenditure such as salaries, supplies, equipment, travel, and rent. In contrast, the *program budget* attempts to measure the total cost of a specific function or activity that comprises a "program," regardless of the number of organizational units involved in executing the program. A *performance budget*, on the other hand, attempts to relate the input of resources to the output of services by emphasizing the measurement of quantitative data concerning *units of work performed* or *services rendered*. Generally, these types of measures take either of two forms: workload efficiency data or performance job accomplishment data. Examples of workload measures include number of clients served per day, cost per hour of service, and percentage of operating capacity utilized. Examples of performance measures include the number of clients successfully rehabilitated (which requires definitions of achievement), percentage of caseload placed in less restrictive setting, and reduction of mortality rate.

A fourth type of budget frequently utilized is the *capital project budget*. This type of budget accounts for resources appropriated or granted for the construction or acquisition of fixed assets. Capital project budgets are planned for the life of the project, which is usually longer than a fiscal year since construction times are highly variable. There may be more than one project in process at any one time, which necessitates a separate budget for each project; however, projects financed from the same source are usually combined in a single budget (Committee on Governmental Accounting and Auditing, 1974).

Typical examples of these four types of budgets are shown in Table 1. Because they were developed for the same project, the totals for the traditional and the program budget are identical; they reflect the same costs, broken down in different ways. The combined operations total for the two programs in the performance budget is also identical to that for the traditional and program budgets. The *total* performance budget, however, is slightly higher since it includes central administrative costs (e.g., the executive director's salary and travel). The capital project budget, of course, has a different total since it reflects different kinds of costs.

Understanding the essential differences in types of budgets is prerequisite to understanding budgeting systems or methodologies. There are as many budgeting systems as there are writers on the topic. However, three basic systems will be discussed in this chapter:

Incremental budgeting;

Zero-base budgeting (ZBB) and its corollary planning-programming-budgeting systems (PPBS);

The contingency management approach to budgeting.

Incremental budgeting. The oldest budget system or methodology on record and still widely used in some form by nearly all budgeteers today is called "incremental" budgeting. This type of budgeting consists simply of pulling out last year's budget, adding 6% to salaries and fringes, 7% to materials and rent, adding up the total, and calling it next year's budget. Actually, the negative tone of the preceding sentence may be a little unfair because the basic ingredient of all types of budgets remains the line item objects of expense, which easily lend themselves to incrementalism. However, most professional budgeteers and program managers today prefer more sophisticated budget systems.

Planning-programming-budgeting. Planning-programming-budgeting systems and zero base budgeting attempt to apply the concepts of program and performance budgets (see Table 1) to the tasks of identifying the fundamental mission of the organization. In these systems, budget selections are made from among alternative strategies for accomplishing goals and objectives on the basis of cost implications and expected benefits of each alternative. Both systems require the quantitative identification of the amount of the program objective to be achieved, the total cost of meeting the objective, and the measurement of unit costs of outputs or expected results. For example, an objective to serve some 100 clients for a total cost of $10,000 would result in a unit cost of $100 per client. Alternatively, serving 200 clients for a total cost of $18,000 would result in a unit cost of $90 per client. The comparative relationship of these alternatives shows varying cost efficiencies and amounts of the objective to be achieved.

Partially because these systems require considerable time commitment and volumes of performance data, they are developed most often for two- or five-year periods. More frequently, in governmental organizations an abbreviated form of PPBS or ZBB may be used on an annual basis after a comprehensive two- or five-year budget plan has been prepared.

A common question is whether budgets should be developed from the top down or from the bottom up. The answer is both. In its final form, a budget should represent the mutual decisions of all levels of an organization's management, insofar as the budget relates to their respective mutual responsibilities. To get to the final budget, some things must come down from executive management and some things must come up from operating personnel and program management levels. The real world of administration has not yet produced a management style or an organizational structure that provides for the theoretical

Table 1

Examples of Four Types of Budgets

Traditional, Line Item, or Object of Expense Budget

1. Program manager's salary	$ 22,000
2. Salaries of classified positions	150,000
3. Fringe benefits	1,700
4. Travel	10,000
5. Building rent	14,000
6. Utilities	6,500
7. Janitorial service	5,000
8. Maintenance	10,000
9. Office renovation	18,000
10. Capital outlay: typewriters	2,000
automobile	8,500
desks	1,500
Total Operating Budget	$249,200

Performance Budget

Residential programming		
Operations[a]		$222,000
Central administrative overhead		5,600
	Subtotal	$227,600
Clients served	25	
Cost per client	$9,104	
Program utilized	85.5%	
Clients transitioned	12	
Sheltered work and day programming		
Operations[b]		$ 27,200
Central administrative overhead		7,000
	Subtotal	$ 34,200
Clients served	78	
Cost per client	$438.46	
Program utilized	82%	
Clients transitioned	42	
Total Performance Budget[c]		$261,800

Program Budget

1. Day-care unit	$ 10,000
2. Sheltered workshop unit	17,200
3. Apartment living unit	20,000
4. Group living home	22,000
5. Supervised residential unit	180,000
Total Program Budget	$249,200

Capital Project Budget

1. Architects' fee (6%)	$ 205,800
2. Soil testing	10,000
3. Site work	220,000
4. Material	1,200,000
5. Labor	2,000,000
6. Site inspection activities	50,000
7. Contingency (12%)	411,600
Total Construction Budget	$4,097,400

[a]Reflects total of items 3, 4, and 5 for the program budget

[b]Reflects total of items 1 and 2 of the program budget

[c]Is higher than the totals for line item and program budgets because it includes central administrative costs

models of democratic, participative budgeting. The imposed budget, developed by only a few executives and accountants, remains the most efficient in terms of time and staff. However, when budgets are imposed from the top down only, lower level management becomes less responsive to the program plan.

Contingency budgeting. Collins and Willingham (1977) have outlined a contingency management approach to budgeting which represents a continuum of styles from imposed budgets to totally participative budgets. The contingency management approach is not truly a budget system; instead it offers a framework within which management can choose the appropriate *style* for the organization's budget development. The organization's changing environment suggests that there may be times when an imposed budget will be most efficient and successful (e.g., when working within time constraints). At other times and under different circumstances, a consultative or more fully participative style of budgeting may be most productive. For example, if it is known that the key program management personnel collectively exhibit a great deal of initiative and ego identification with the organization and its goals, participative budget development should be instituted to protect their commitment.

Budget Planning

When developing an annual operating budget, one does not simply set down a list of numbers and write out arbitrary goal statements. A great deal of preparatory work is required before the first dollar is even considered. Prior to estimating expenditures and revenue requirements, the program manager must give considerable individual thought to just what his or her job requirements are, what he or she believes they ought to be, and what executive management or other supervisors expect. Essentially, this thought process is the initial step in understanding and re-thinking, on an annual basis, the organization's basic programmatic mission.

Prerequisites

Needs assessment. The planning of the organizational mission in modern human service agencies begins with needs assessment activities. A quantitative and objective base of information regarding the nature of the population in need of services is mandatory. The organization must have this information in order to establish who and how many to serve, in what manner, and by whom.

Evaluative data. Coupled with examination of the community is a strong need for evaluative data. For budgetary purposes, evaluative data include reports and interpretations of past organizational performance. A program manager cannot be expected to plan the future courses of action without an analytical examination of what was just completed and how it was done. The actual accomplishment of last year's objectives most often is not enough. Close scrutiny must be given to *how* the objectives were achieved. Were they accomplished efficiently? Was the job performed in a cost-efficient manner? In other words, was the job completed in a timely fashion without employees wasting time or materials?

Cost projections. In addition to having a sound, comprehensive needs base and evaluative data, the program manager has to be fundamentally familiar with cost projections regarding the economic conditions of the total environment of which his or her own program is only a part. In association with needs assessment data, for example, the manager will want to know what impact inflation is having on the targeted population to be served. Similarly, what has inflation done to the salaries, morale, and future productivity of employees?

Has management planned cost-of-living salary increases for all employees? Have cost projections taken other items into account, such as the rising price of gasoline required to fuel the vans necessary to transport the clients and employees?

In performance and program budgets the analysis of cost projections is extremely important. Executive management and external budget examiners tend to look at the bottom line. If unit cost comparisons of past performance do not substantially predict future budget cost projections, the manager will be faced with a lot of explaining. That is, if the cost per client served over the last several years shows a steady gradual increase, and the manager is requesting a comparatively higher budget without a commensurate increase in workload, the resultant unit cost will exceed the previous year's gradual rise.

The Role of the Manager

Program or mid-level managers rarely prepare budgets in a vacuum. Many fiscal decisions which are intended to affect all programs of the organization uniformly are made by executive management or external funding agencies. Such global decisions may include an order to "hold the line on next year's expenses" or "budget for a 7% across-the-board wage increase." Program managers frequently will be involved to some degree in providing input for these decisions. Job satisfaction surveys of employees or client satisfaction survey results also may be used by higher-ups in deciding wage policy or basic changes in operations affecting every manager's budget. As discussed earlier, the organization's basic approach to budgeting, and management in general, has a great deal to do with the amount and type of communication between the program manager and executives.

In developing the operating budgets, program managers are faced with the problem of how much of an objective or how many objectives to take on. Program managers may choose objectives that are easily accomplished or, conversely, may take on so many objectives that it is physically impossible to accomplish them. The issue to be decided is what level of effort and how many tasks will maximize the coordinated efforts of the whole organization. The guidance offered by executive management to program personnel is crucial, as is the full disclosure of performance capabilities by program managers to the executive administrators.

If the program manager works in an autocratic administration, he or she may expect the imposition of budget constraints on what may be planned for. On the other hand, in a more participative organization the manager may be expected to assist in the development of the goals and objectives of all units and to help design the budget guidelines by which he or she will subsequently be governed. Unfortunately, given the nature of budget deadlines and executive hierarchies, many organizations fall prey to the temptation to hand over total budget development responsibilities to the chief financial officer and the accounting department. There are few strategies available to program managers who wish to participate fully in budget development when executive administrators are antagonistic to such activity. The only means worthwhile, short of mutiny, is to convince executive management that basic budgeting knowledge and skills are an available resource among mid-level personnel.

Budget Development

Only when the program manager and his or her superiors are satisfied that they have arrived at meaningful and realistic goals, objectives, strategies, and evaluation procedures, can the detailed process of estimating expenditure requirements begin. For purposes of this

presentation, two basic assumptions are made: first, that revenues are known or otherwise available and second, that the type of budget to be prepared is also fixed. It was mentioned earlier, and bears repeating here, that the analysis of objects of expense is the basis of all budgets. Sooner or later, the budget developer will be concerned with the finite costs of individual salaries, items of equipment, square footage of rented space, and travel allotments.

Staff Utilization Reviews

Because personnel in most organizations, and nearly always in human service agencies, represents the single largest item of cost, it necessarily follows that most budgetary planning time should be allocated to this resource. Cost-minded program managers will be constantly on the alert to efficient use of personnel. Staffing ratios and patterns of organizational structure are frequently debated at budget review hearings. Is the organization "top heavy" in highly paid personnel? Are personnel doing the jobs for which they are titled and paid? What are the economic trade-offs of more lower-paid employees doing the same work as fewer higher-paid employees? How many vacation/sick leave days and holidays can be granted before additional personnel are required to accomplish the same amount of work?

The answers to these questions are too often determined and defended subjectively. Increasingly, however, health and social service agencies are turning to professionally staffed personnel and/or internal audit departments for objective personnel utilization reviews which assess the efficiency and productivity of existing staffing patterns. The capability to identify redundant positions or the need for an additional key supervisor provides managers crucial opportunities to save personnel costs or increase productivity at minimal expense.

Classification and Functional Job Descriptions

Hand in glove with staff utilization analysis is the proper classification and salary administration of the personnel budget. All organizations should have an employee classification and wage scale system. The manager developing the budget must be thoroughly familiar with this system as well as with the employment market from which personnel may be recruited and against which the agency is competing to retain existing trained personnel.

In developing the budget, the manager must know that if requirements for job performance can be met by a less expensive position (e.g., a licensed vocational nurse) compared to a more expensive position (e.g., a registered nurse), the manager's needs will have to be reconciled with the organization's classification system. That is, if the manager knows that the required work can be accomplished by using a $10,000 per year LVN, and the organization's classification system provides for RNs with salaries beginning at $12,000 per year, there are only two choices: budget for the more expensive RN or seek a change in the classification schedule by adding LVNs. In another circumstance, the manager may be faced with the potential loss of a highly-trained and experienced chief caseworker. He or she must balance the alternatives: seek a budget increase to promote the existing position; budget a lower-paid, entry-level position and increase training costs; or maintain existing budgeted positions and hope to recruit an equal replacement.

Cost Analysis

Cost analysis includes everything discussed above regarding personnel and much more. Private business survives on profit margins. In a very real sense, public and related human service organizations are dependent on what can be described as productivity margins. A brief discussion of fixed and variable costs and margins is required to illustrate the point.

Fixed costs usually include material or tangible items, such as vehicles, office equipment, and rented space. These costs are not readily retrievable in that they are usually "fixed" by long-term investment or contract, and the costs are the same whether the items are used or not. The productivity margin of fixed costs is the practical maximum utilization of the item less the actual or realized utilization. For example, if a rented office has a capacity for five people and is used by only four, it has a productivity margin to be realized. Available space paid for and unused is wasteful and uneconomical. But the opposite also may be important; the same office, when overcrowded, actually may lose its productivity margin.

Variable costs are those associated with fluctuating behavior such as personnel costs, utilities, gasoline, and other consumable items. Variable costs also have productivity margins. For example, a given amount of work may be accomplished by one employee. But it is not always true that one and one-half times the work requires one and one-half employees. Due to fringe benefits, time off, in-service training, and general down time, the work actually may require two full-time staff. The ratio of one and one-half times the work to two employees yields a simple productivity margin.

The importance of cost analysis in examining productivity margins is critical to the program manager's budget plans. The program manager is closest to the work force and generally the first to know when fixed cost items are not maximally utilized. Therefore, he or she can be the most sensitive to such productivity margins and plan the budget accordingly.

Organizational Communications

By now it must be apparent that to develop a sound budget, program managers must be omniscient as well as expert economists, accountants, and personnel managers; it also would help if they knew contract law and were purchasing agents in their spare time. Few possess such faculties. As such, program managers must rely, whenever possible, on assistance from other organizational specialists who have daily responsibilities for the areas just identified.

Before consulting any specialists, program managers should establish communication links with executive management and other program directors involved in the budget process. The purpose is two-fold: first, to acquire executive management's commitment to the program manager's responsibilities in developing unit budgets and second, to coordinate the efforts and needs for assistance of all the other managers with the personnel, purchasing, and accounting specialists. A manager who is seventh in line at the purchasing officer's desk will soon be cut off when asking the same question as his or her colleagues.

The accounting officer usually assists program managers in developing budgets by providing needed historical data and by laying out forms and procedures for the development of budgetary information. The accounting officer probably will be responsible for insuring that all program managers adhere uniformly to the budget and operational guidelines issued by executive management. Given this responsibility and their natural eagerness to put together a budget that will be attractive to top management, the accounting staff may attempt to exert undue influence on the responsible manager(s). It is absolutely necessary that finance personnel not dominate the budget determinations and program managers must remain alert to this danger. However, communications with the accounting office are essential and, if cultivated properly, will provide a valuable source of data and fiscal information.

Similarly, communications with the personnel officer are necessary for the program manager to be able to appreciate the subtle flexibilities inherent in personnel classification systems and salary scales. Further, the personnel office is in a good position to continually inform managers of current employment conditions which affect their ability to hire needed personnel.

The purchasing agent or officer is another valuable, yet often overlooked, resource. This specialist can be valuable to the budget developer by providing current prices of materials and supplies, information about discount bargains on quantity purchases should managers coordinate their planned purchases, and even utilization rates. An analysis of past data regarding utilization of consumable supplies can provide the manager with sound planning formulas which indicate the approximate materials cost to the unit when an employee is added. Current knowledge of the useful life expectancies of capital items also is extremely helpful. Knowing that a particular type of vehicle can be expected to operate for five years or 75,000 miles if properly maintained, allows the manager to determine the timing of replacement costs.

The key to effective and beneficial communications with the various administrative departments is a mutual respect for each other's budget responsiblities and a willingness to share fully in the give-and-take process of exchanging information. Program managers must be conscious of the ego involvement of the central administrative staff in the budget process. It was not long ago that these people had sole responsibility for budget preparation. It is also important to remember that the status of having expertise extends to the purchasing, accounting, and personnel staff in much the same way as it does to the program expert; this can be especially useful at budget review hearings if these experts have provided the program manager with information and assistance and are willing to "back up" the manager's use of that data. An effective way to assure the cooperation of these specialists is to be ready to provide them with any assistance they in turn might need. For example, the personnel officer may design various employee attitude surveys for the purpose of gathering and analyzing basic data before beginning the budget cycle. The program manager and his or her staff should be ready and willing subjects.

Finally, ongoing cooperation in daily management tasks never hurts the program manager's position at crucial times. He or she should attempt to follow organizational administrative procedures at all times whenever such procedures do not endanger operating efficiency and economy. By cooperatively following instructions and guidelines laid down for the purchasing and personnel offices, managers can build up credit that can be cashed in when critically needed. At times it may seem cumbersome to follow the recruiting and hiring paperwork procedures required by the personnel department. But doing so in good spirits without "fighting" the system will be very much appreciated by the personnel officer, and it is likely he or she will remember it.

Alternative Budget Amounts

Assuming that the program manager has effectively formulated the components of the program plan and has performed the essential cost projections and analyses to arrive at a preliminary budget outline, there remains one more task prior to finalization. A principal planning and decision-making feature of PPBS is the evaluation of alternatives to the manager's budget proposal. There are two means of accomplishing this:

Change the quantity or (quality) of the objective workload planned and evaluate the impact on costs;

Change the levels of expenditure planned and work back to evaluate the impact on the unit's objectives.

If the organizational objectives and financial plan have been carefully coordinated, the manager, by manipulating either variable, will be able to identify various points at which workload can be reduced. He or she can then budget a corresponding reduction in costs without losing efficiency and productivity. The use of marginal analysis (see discussion of cost analysis on pages 6.9-6.10) is especially important. Conversely, the manager should be able to identify the addition of an amount of money with a corresponding increase in quantity or quality of work performed.

In zero base budgeting systems this process results in the creation of "decision packages" which structure the presentation of these alternatives. The term "zero base" implies development of the budget from zero, adding increments of money and expected accomplishments until the desired total is reached. The basic requirement in developing decision packages is the formulation of meaningful alternatives. First, alternative methods of accomplishing the same activity are researched with management choosing the best for further analysis. Once a method of performing an activity has been chosen, a manager must then identify alternative levels of effort (or levels of cost with corresponding levels of output) to perform that activity. Each level of effort may be viewed as a building block, built on a minimum level of effort (see Table 2).

Table 2

Levels of Cost and Corresponding Levels of Output

Level	Cost	Output
1	$10,000	100 clients served
2	+ 5,000	+75 clients served
3	+ 4,000	+80 clients served
Total	$19,000	255 clients served

When the various levels of effort of several activities or organizational units are added together, the interdependencies of the levels can be compared. That is, when an additional budget level is added to the admissions unit of a clinic, more clients may be expected to show up for outpatient appointments, thus requiring additional funding for the outpatient unit. The levels of effort for all organizational units, when fitted together in a coordinated and priority ordered fashion, maximize the efficiencies and economies of the interrelationships among the various functions. For example, if all operating units are planning a 25% increase in performance and expenditure, the accounting department will probably have to plan a corresponding budget increase to accommodate their expected workload increases. Thus, executive management is afforded an opportunity to put in priority order in an integrated budget package all levels of effort of all the organization's units.

Budget Review and Implementation

Internal Budget Reviews

Generally speaking, internal budget reviews are quite extensive at all levels of the organization. Compared to external budget reviews, which are conducted by outside groups, internal

budget reviews generally require heavy participation by the program manager. Essentially, internal reviews contain examinations of three broad areas of the budget:

The manager's adherence to established policy guidelines as well as accuracy of format and numerical computations;

The manager's adherence to the overall organizational mission and goals;

The cost-efficiency of the manager's proposed budget and operations plan.

Program managers must be prepared to defend and justify everything they have put on paper, and equally important, the rationales behind all planning assumptions and decisions. It is important that managers also be capable of explaining the behaviors of the variable items in their budgets. For example, the reviewers may indicate that the reduction of one position from the budget is necessary to balance the organization's total budget. The program manager should be able to inform the reviewers of the full impact of the possible loss of *each* staff member whose position might be cut, not only on reaching immediate objectives but also on achieving overall organizational goals.

Managers should be alert to the atmospheres of budget reviews. Some reviews may take the form of a legal proceeding whereby the reviewers cross-examine and badger the manager. Becoming emotional can lead to a poor presentation of underlying justifications and may possibly result in the loss of needed funds. On the other hand, the manager should be leery of the friendly, informal coffee review. If the budget reviewers seem relaxed and unconcerned about the amounts of money being requested, it may be that they have already made the decision to take adverse action or that they are genuinely unconcerned and at a later time in the review process may prove inept in defending the manager's plan. In these circumstances, the manager should endeavor to present justifications quickly and succinctly but push to get across necessary detailed supporting information.

External Budget Reviews

Program managers can expect to participate less frequently in the external budget review than in internal reviews. Outside reviewers, such as boards of directors, governmental funding agencies, or legislative bodies, prefer the expediency of holding budget hearings with a minimum of participants. This usually results in having the chief executive officer and financial officer present the entire organizational budget. Their ability to do this effectively depends on the quality of prior executive planning and the information they have gained from the internal reviews with program managers. However, the depth of some external budget examinations may require the participation of various program managers.

External reviews generally originate from two sources: political-legislative bodies and funding sources. Often these are one and the same. For example, a city council may hold a formal budget hearing on a funding proposal by a nonprofit child care organization seeking city monies for support. An obvious distinction is the appropriations process of Congress or a state legislature, which involves authorizing administrative agencies to grant public funds to local agencies or private nonprofit organizations. In this case, an organization's budget may have to pass legislative as well as funding source (administrative agency) budget reviews.

A major distinction between internal and external reviews is that the external review tends to focus its examination on broader issues such as how cost and performance affect the economy or local community, while internal reviews entail detailed analyses of relative cost efficiencies of single organizational unit components. Another feature of the external

review is the presence of professional budget examiners who are full-time analyzers of other organizations' budgets. Being independent, they have fewer built-in biases about the need to accomplish the organization's goals in the manner desired by that organization. From their experiences with agencies in other states or communities, external reviewers may have learned of more efficient means of accomplishing the organization's goals. Even though this information may sometimes be offset by local political constraints, external reviewers are usually in the best position to weigh the social and political consequences of funding or not funding a particular organization. These analysts are often faced with funding choices between such things as highways and schools, or institutional services and outreach/community services.

Implementation and Management Control

The final product—an approved, annual, operating budget—becomes ready for execution upon adoption and usually on a fixed date. As discussed previously, the budget is a useful means of controlling operations at all levels of the organization. When program managers are committed to the budgetary plan, they usually will employ every proper means to achieve it.

Because the working environment and the outside world are constantly changing, the budget system should be flexible enough to accommodate revisions in original plans. The unforeseen loss of anticipated revenue or a dramatic increase in the demand for services, for example, would almost certainly necessitate budgetary amendments. Management's ability to control the budget, and thus organizational performance, relies to a great extent on its ability to regularly and systematically monitor program progress as well as revenues and expenditures of funds. Not only must management measure these results, but it must constantly compare the periodic results to the original plan. By analyzing the causes of differences, management is then able to determine and take appropriate action either to amend or to assure compliance and adherence to the original objectives and strategies.

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Now that you have read this chapter, turn back to the checklist on page 5.22 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

Budgeting is an important area for managers, even those who ordinarily don't deal with it, to consider. In this exercise and in your next group meeting, you will practice some of the budgeting principles presented in the chapter you just completed. Not only will these exercises teach you about various approaches to budgeting, but completing them will also give you an appreciation of what budget developers have to contend with. So be sure to complete the following exercises even if budget development is not a part of your usual workload.

In Session 5 you brainstormed a multitude of strategies for reaching a single objective. You then chose two as the most likely to succeed, based on the principles presented in that session. This chapter has explored cost, an additional important factor in any program plan. In the practical applications for this session, you will be given an opportunity, based on the individual work you are about to complete, to compare the relative costs and benefits of several strategies. (In reality, of course, you would consider the relative costs and benefits of the objectives in your program plan as well. However, for purposes of this exercise you should bypass those considerations and work with the objective you chose in Session 5).

1. *Recording strategies.* Go back to the chart on page 5.20 and transfer the brief strategy descriptions to the chart on the following page. Then copy that same information on the chart on page 6.18.

2. *Outlining budgets.* Now outline a performance budget for each strategy. Remember to include the percentage of the objective it will achieve, the total cost for meeting that portion of the objective, and the expected unit costs. If you feel you need more guidance, turn to the discussion of performance budgets on page 6.4. You may find Table 1 to be helpful also; however, the performance budget in the table is slightly different since it was developed for a total program rather than for individual strategies. Record your budgets on the chart on the next page but ***do not fill in that information on page 6.18.***

Performance Budgets for Alternative Strategies

Strategy Summary	Performance Budget Outline
	Percentage of objective it will achieve _____ Total cost _____ Expected unit cost _____
	Percentage of objective it will achieve _____ Total cost _____ Expected unit cost _____
	Percentage of objective it will achieve _____ Total cost _____ Expected unit cost _____
	Percentage of objective it will achieve _____ Total cost _____ Expected unit cost _____

Practical Applications for the Management Team

In these practical applications you will be given an opportunity to evaluate strategies within a planning-programming-budgeting system, to complete a line item budget, and to discuss your program's approach to budgeting. While these are valuable components of the budgeting process, they do not by any means constitute a comprehensive approach to budgeting. The time for this group meeting is too short to practice all the principles presented, so you are urged to refer back to the chapter for guidance in future budgeting activities.

Instituting a Planning-Programming-Budgeting System

1. *Examining performance budgets.* Because all programs must operate within budgetary constraints, cost is a necessary consideration in developing effective program plans. A planning-programming-budgeting system takes the cost factor into account by allowing you to choose among alternative strategies on the basis of the amount of the program objective each strategy will achieve, the total cost for what it will accomplish, and the expected unit costs. The performance budgets you developed in the individual assignment will provide the basic information you will need in this exercise. As a group, share your outlines from page 6.16 and come to some agreement about the estimates. Take about 10 minutes and record the group consensus on the chart on the next page. (You may find it helpful to remove the chart for the duration of this exercise.)

2. *Selecting strategies.* Based on the budget outlines you just formulated as a group, ***choose two strategies you will pursue to reach your objective.*** Remember to consider all three types of information that the performance budgets provide. ***Make "checks" beside the group's choices.***

3. *Discussing selections.* ***Are these the same strategies you chose in Session 5 (p. 5.21)? If so, proceed to the next exercise on line item budgets. If not, discuss how the planning-programming-budgeting system approach redirected your thinking.***

Performance Budgets for Alternative Strategies

Strategy Summary	Performance Budget Outline
	Percentage of objective it will achieve ____ Total cost ____ Expected unit cost ____
	Percentage of objective it will achieve ____ Total cost ____ Expected unit cost ____
	Percentage of objective it will achieve ____ Total cost ____ Expected unit cost ____
	Percentage of objective it will achieve ____ Total cost ____ Expected unit cost ____

4. *Developing details.* ***If your most recent choice of strategies does not coincide with your decision in Session 5, take this opportunity to develop the details of the new strategies.*** If you want ***to critique your work, turn to the checklist on page 5.22.***

Objective (from page 5.21)	Strategies

Completing a Line Item Budget

The planning-programming-budgeting system, which utilizes performance budgets, is a very effective way of looking at program goals and objectives and evaluating various means of achieving them. But the basis for any type of budget—even the performance budget—is an analysis of objects of expense. Every budget developer must at some point consider finite costs for things such as salaries, equipment, rent, and travel. In this exercise you will have an opportunity to practice juggling these costs by completing a line item budget (described on page 6.4).

Due to previously decided program goals and objectives, you are committed to keeping the grand total of your budget to the fixed amount of $112,850. Having determined other basic cost requirements (recorded on the sample budget on the next page), you must decide how much of the remaining money to allocate to benefits for staff, employee travel, and office furniture for a new staff member. You have about 30 minutes to complete the remainder of this exercise, so work as efficiently as possible.

1. *Fringe benefits (budget category 020).* Your desire is to improve the fringe benefits of your employees; however, you are concerned about having enough funds remaining for adequate travel and new furniture.

   Your organization has a fixed retirement plan for all employees. ***The agency matches employee contributions at 4% of total annual salaries. Calculate the agency contribution to the retirement plan and record it in the space below.***

   Total, retirement ($67,224 annual salaries x 4%) = $_____

   Social security matching requirements for this year are a 7% tax on employees' salaries up to a maximum salary of $17,700. Using this formula and your payroll budget, ***calculate the total amount of social security contributions you would be required to pay on behalf of your staff.***

   Program director $24,000 (17,700 x 7%) = $_____

   Nurse II $15,000 (15,000 x 7%) = _____

   Caseworker II $12,500 (12,500 x 7%) = _____

   Community service aide $8,916 (8,916 x 7%) = _____

   Secretary II $6,808 (6,808 x 7%) = _____

   Total, social security matching $_____

   Because retirement and social security are predetermined costs, your single opportunity to improve the overall fringe benefits is to increase the health insurance benefit package. You have researched one alternative to the insurance plan already in force and have found the premium cost per employee to be $10 higher per month. ***The following formula compares your cost alternatives:***

   Existing insurance plan (5 employes @ $15.00/month x 12) = $_____

   New plan (5 employees @ $25.00/month x 12) = $_____

   Now, ***sum your three fringe benefit totals***—retirement plus social security plus health insurance—***to arrive at the amount to place on line (020) of the budget work sheet (p. 6.21).*** Remember, you have two alternative totals to consider because of your new health insurance plan. For purposes of arriving at your grand total, ***first place the lesser of your alternate totals in the space at line (020), then place the higher total (your alternative) immediately to the right. Use the space below to figure your two totals.***

	Lesser alternative	Higher alternative
Retirement	_____	_____
Social security matching	_____	_____
Health insurance	$_____	$_____
Total, fringe benefits	$_____	$_____

Budget Work Sheet

Agency _____

Program _____ Budget Period _____

Budget Category		Budget Amount
1. Personnel		
a. Salaries & wages	(010)	$67,224
b. Salary & merit increases	(011)	0
c. Fringe benefits	(020)	
d. Consultation & professional fees		
(1) Direct patient services	(030)	10,000
(2) Other	(040)	2,000
2. Travel—staff & board of trustees		
Members	(050)	
3. Consumable items		
a. Drugs	(060)	9,000
b. Food	(070)	0
c. Other (office, hospital, medical, school, etc.)	(080)	1,250
4. Equipment & furniture		
a. Purchase	(090)	
b. Rental	(100)	0
c. Repair & maintenance	(110)	0
5. Building		
a. Rent	(120)	2,400
b. Remodeling & renovation	(130)	0
c. Repair & maintenance	(140)	500
6. Vehicle		
a. Purchase	(150)	4,600
b. Rental	(160)	0
c. Operating & maintenance costs	(170)	600
7. Contracts with service agencies	(180)	0
8. Other		
a. Postage, telephone	(190)	1,500
b. Laboratory expenses	(191)	0
c. Client transportation	(192)	0
d. Annual audit	(193)	206
e. Insurance	(194)	473
f. Client wages	(195)	0
g. Utilities	(196)	1,200
h. Legal Services (prorated)	(197)	150
i. Miscellaneous	(198)	900
j.	(199)	
k.	(200)	
9. Grand total	(300)	$112,850

PPE

2. *Travel (050).* As a part of the services your outpatient clinic administers, your staff nurse makes home visits, the caseworker must attend montnly conferences on social work, and you as program director (along with the caseworker) must travel weekly to the central administrative offices for staff meetings. You are already planning on the purchase of an automobile for travel to the weekly staff meetings and for the nurse's home visits. You must now ***calculate the estimated gasoline costs for the new car and the mileage and per diem costs for reimbursing the monthly conference travel of the caseworker.***

   You have estimated 18,000 miles for the first year of use for the new car. You plan on $.60 per gallon of gas at 20 miles per gallon.

   18,000 miles / 20 miles/gal. = _____ gallons x .60/gal. =

   Subtotal, automobile $_____

   Your organization reimburses employees the cost of using their personal automobiles at the rate of $.15/mile and pays them $25 per diem for each full day they are away from their duty station while on clinic business. Your caseworker plans to attend 12 monthly conferences for two days each, traveling 500 miles round trip each time. She will drive her personal automobile. ***Calculate the estimated costs and enter the total on line (050) of the problem sheet.***

   Per diem (12 trips x 2 days each x $25/day) = $_____

   Mileage (12 trips x 500 miles each x $.15/mile) = _____

   Subtotal, mileage and per diem $_____

   Total, travel (automobile, mileage and per diem) $_____

3. *Equipment and furniture purchase (090).* Due to the addition to your basic staff of the community services aide, ***you must budget for the purchase of a new desk, chair, and filing cabinet. You have received the following price information*** on new and used office equipment from the purchasing and supply offices:

Furniture Type	Cost	
	Used	New
Desk (metal)	$ 80.00	$150.00
Swivel chair	60.00	100.00
Filing cabinet (4 drawers)	65.00	125.00
Total, furniture	$205.00	$375.00

Because you are interested in matching office furniture as closely as possible to what you already have, and because you want to make the new employee comfortable, you would like to buy the new equipment. However, you now realize that you may be running over your total budget limitation.

PPE

4. *Checking your calculations.* ***Before proceeding any further, check to be sure that the calculations you made coincide with those listed below. If they do not, make the corrections now.***

Fringe benefits		
Retirement	$2,689	
Social Security	4,275	
Health insurance	900	($1,500)
Total, fringe benefits	$7,864	($8,464)
Travel		
Automobile	$ 540	
Mileage and per diem	1,620	
Total, travel	$2,160	
Furniture (new)		
New	$ 375	
Used	$ 205	

5. *Balancing the budget.* Now ***attempt to balance your budget by combining your totals in different ways*** (i.e., high fringe benefits, used furniture; low benefits, new furniture). Remember, ***your total budget cannot exceed $112,850*** and the basic cost requirements you've determined are $102,003. Rather than arriving at the exact total, you should attempt to come as close as possible without exceeding it. Take about five minutes to ***calculate the cost of each of the various options open to you. Use the space below to record your answers.***

Basic costs (from worksheet)		$102,003
Fringe benefits (high)		
Travel		
Furniture (new)		
	Total 1	
Basic costs (from worksheet)		$102,003
Fringe benefits (high)		
Travel		
Furniture (used)		
	Total 2	
Basic costs (from worksheet)		$102,003
Fringe benefits (low)		
Travel		
Furniture (new)		
	Total 3	
Basic costs (from worksheet)		$102,003
Fringe benefits (low)		
Travel		
Furniture (used)		
	Total 4	

6. *Weighing alternatives.* As a group, ***discuss the four alternatives and decide which is most desirable.*** Consider expense to the agency (remember, you can't go over your total budget figure) as well as benefits to staff and the program. ***Do this quickly and record the group's selection below.***

_____

_____

Note: If you are reading these exercises before the group meeting, stop here. Reading the following critique could bias your participation.

7. *Critiquing your choice.* If you did your calculations correctly, you discovered that ***only one option (high fringe benefits and new furniture) would put you over the limit*** allowed by your budget. ***This alternative would be excluded.***

   You also should have eliminated the low fringe/used furniture combination, since it would benefit neither your new staff member nor your staff as a whole.

   There are two remaining choices. Since it would be necessary for all staff members to give up an increase in fringe benefits in order for the new staff member to have new furniture (low fringe/new furniture), ***the high fringe/used furniture option is probably the most equitable.***

Discussing Your Agency and/or Program's Approach to Budgeting

As a final part of this group meeting, ***consider how all the information on budgeting in this session relates to your agency and/or program as well as to you personally. Discuss the following questions and use the space provided for notes if you wish.***

Who plans and develops your agency and/or program budget? _____

_____

_____

What type(s) of budgeting systems are used (i.e., line item, performance, or program)?

_____

_____

Is this type most appropriate for your organization? If not, what would be better and why?

_____

_____

_____

_____

_____

_____

Do you generally have an opportunity to participate in the budget development process? If not, do you think you should? How and why?

_____

_____

_____

_____

_____

_____

_____

What could you do to encourage your agency or program's budget developers to allow you to provide input into budget development? Develop several strategies and record them below.

_____

_____

_____

_____

_____

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.14 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "Evaluation: An Integral Part of Program Planning."*
3. *Complete the individual preparation section.*
4. *Review the practical applications, but do not read the information in Appendix C since doing so would detract from the group's experience during the role play.*
5. *If you are the Session 7 coordinator, locate all information from previous exercises that is needed to complete the session you are coordinating. Copy the information into the practical applications section of your session when necessary, and be prepared to alert the group to any that is missing or incorrect.*

Session 7

Evaluation: An Integral Part of Program Planning

Burgeoning Emphasis on Evaluation 7.1
Purposes of Evaluation 7.2
Evaluation Criteria 7.4
Types of Evaluation 7.6
Data Collection 7.7
Promotion of Positive Attitudes Among Staff 7.7
Conversion of Data to Information 7.9
Implementation of Decisions 7.10
Conclusion 7.10
References 7.10
Individual Preparation 7.13
Practical Applications for the Management Team 7.17
Things to Do Before the Next Group Meeting 7.23

As mentioned in the conceptual model presented in Session 4, evaluation is an important component of program planning. Without it, it is impossible to measure progress toward goals and objectives and determine when, or if, it is necessary to modify portions of the plan. This session explores the increasing pressures for program evaluation, including demands from funding sources, consumers, legislative mandates, and accrediting bodies, as well as pressure from within the agency itself. Emphasis is on evaluation as a constant rather than periodic activity that has the potential for influencing policy and decision making. Ways of promoting positive attitudes among staff and overcoming resistance to change are also explained.

In this session you will:

1. Role play situations which demonstrate the importance of the evaluator's approach;
2. Formulate evaluation procedures for an objective and several strategies;
3. Translate evaluation data into program recommendations and discuss how those recommendations should be implemented.

Evaluation: An Integral Part of Program Planning

Jerry D. Parham
Pamela A. Bernanke

Evaluation—a systematic, continuous part of program planning—has become increasingly important to effective social service programming during the 1970s. Many sources, both internal and external, are creating strong demands for effective evaluation by agencies and programs.

Burgeoning Emphasis on Evaluation

Funding sources. Unlike the 1960s when few programs were available and rapid growth was taking place, the 1970s have brought restraint among funding sources and valid demands for program justification. Program evaluation has been identified as the primary avenue through which the accountability of social service programs will be assessed (Spaniol, 1977).

Consumers. The growing involvement of consumers in social service programming has further increased the demand for information on the value and validity of programs (Spaniol, 1977). The kind of information required to respond to consumers' questions is not necessarily the same kind of information required by funding sources. Therefore, agencies must develop comprehensive evaluations that will produce information to answer the questions posed by a variety of individuals and organizations.

Internal pressures. In addition to external pressures by funding sources and consumers, there are increased internal demands for evaluation. The human services have rapidly become a complex system, and problems can no longer be solved by informal decisions based on an administrator's judgment or past experience. Instead, increasing emphasis is being placed on planning, policy analysis, and organizational development within each agency. Other sources of internal pressure, Spaniol (1977) notes, include the increasing professionalization of all levels of the human service system, the information explosion within and among agencies, and the sincere desire among agency personnel to improve services to clients.

Legislative mandates. Further demands for program evaluation grow out of federal legislative mandates. As mentioned briefly in Session 4, the 1975 Developmentally Disabled Assistance and Bill of Rights Act (Public Law 94-103) requires each state to implement

a comprehensive system for evaluating services to developmentally disabled persons. The system must include *individual* evaluations of disabled persons as well as evaluation of *programs* serving disabled clients. The Education for All Handicapped Children Act of 1975 (PL 94-142) includes a general mandate requiring states to evaluate their efforts to meet their goals. The Rehabilitation Act of 1973 (PL 93-112) and its 1974 amendments (PL 93-516) require that all programs authorized by the Act be evaluated in goal-related terms. Evaluations must be done by people not directly involved in the administration of the program.

Accreditation requirements. Various accrediting bodies also require facilities seeking accreditation to evaluate their programs. These accrediting bodies include the Commission on Accreditation of Rehabilitation Facilities (CARF); the Health Care Financing Administration, which administers the Standards for Intermediate Care Services in Facilities for Mentally Retarded or Persons with Related Conditions (ICF-MR); and the Accreditation Program/Services for Mentally Retarded and Other Developmentally Disabled Persons (AP/MRDD), which is a component of the Joint Commission on Accreditation of Hospitals (JCAH). The CARF *Standards Manual for Rehabilitation Facilities* (1978) stresses self-evaluation and the improvement of ongoing programs by rehabilitation facilities. The ICF-MR *Standards for Institutions for Mentally Retarded or Persons with Related Conditions* (1977) specifies that the status of each resident must be reviewed at least annually and that the appropriateness of and progress toward goals also must be assessed. The JCAH *Standards for Services for Developmentally Disabled Individuals* (1978) requires agencies to demonstrate that they periodically and effectively evaluate performance and progress toward their goals and objectives, and that they use the results of program evaluation to review and modify agency operations.

Implementation. In spite of all these requirements, program evaluation results are seldom implemented (Weiss, 1972). The critical reason for this failure is that program administrators often do not formulate recommendations and action plans as a result of evaluations. Also, implementation is hindered when decisions are handed down from management to staff. Implementation of evaluation results is much more likely to occur when decisions are made cooperatively by managers and practitioners.

A comprehensive evaluation strategy must be linked closely to the program planning, management, and service delivery systems of an agency so that they can be assessed readily and the results fed back into the system. Only a few comprehensive models are available for evaluating human service programs (Alkin, 1972; Selig, 1976; Spaniol, 1977). Small community-based human service programs may find it difficult to meet the expectations demanded in program evaluation, but the question has become "how," rather than "if," an agency will go about it. (For further information on legislation, litigation, and accreditation which relates to evaluation, see Appendix A.)

Purposes of Evaluation

As a management team, your first step in developing an evaluation procedure is to determine the evaluation's purpose. This will affect the kind of data you will solicit, as well as how it will be used, and will thus have a direct bearing on the evolution of your evaluation procedure. Spaniol (1977) points out that the purpose of an evaluation may define the role of the evaluator, determine the levels within the organization to which the evaluator relates, influence the selection of the program(s) to be evaluated, and affect the types of procedures to be used.

Collignon and Thompson (1972) and Spaniol (1977) have identified three primary reasons for undertaking evaluation:

Program justification (reporting information on program goals and outcomes to outside sources);

Planning and policy analysis (providing information on objectives of agency programs as well as strategies for achieving them);

Organizational development (improving program management and strategy implementation as they relate to achieving agency goals).

Examples of how and when these different approaches to evaluation might be useful (Spaniol, 1977) are given in Table 1.

Table 1
Reasons for Conducting Evaluations

Evaluation Purposes	Examples
Program justification	1. Reporting information to outside sources (such as state and federal agencies, accrediting bodies, and consumer and professional groups) 2. Insuring that the agency can undergo a detailed audit of its service activities 3. Insuring conformity to legal requirements as well as agency policies, priorities, and procedures
Planning and policy analysis	1. Providing a meaningful assessment of services to clients 2. Identifying and making recommendations about policies, philosophies, procedures, and methodologies 3. Comparing program data with information about other programs, both within and outside of the agency 4. Developing valid cost/effectiveness and cost/benefit analyses of agency services
Organizational development	1. Improving the relationship between the agency's mission and the services it provides 2. Assessing the timing of services 3. Improving consistent quality of services 4. Assessing the impact of the supervisor/counselor ratio in counselor performance

From Table 1 it is easy to see how the purpose of the evaluation affects the evaluation procedure itself. Justifying a program to a federal funding source, for example, would probably require an evaluation procedure which includes data on how many clients were served, what services were provided, at what cost, and with what outcomes or benefits. (The 1975 Developmentally Disabled Assistance and Bill of Rights Act (PL 94-103), for example, requires programs to have an accounting system which includes data from individual program plans for developmentally disabled clients.) A planning and policy analysis evaluation, on the other hand, might look at the same program from the standpoint

of whether or not the clients it serves are the only ones capable of benefiting from such services, and it might also include a careful review of the program's objectives. Following a third approach, an organizational development evaluation might seek to determine whether the services provided through the program might be expanded or program strategies altered to more closely fit the mission of the agency.

The evaluation system you develop should be comprehensive enough to cover all purposes that are applicable to your program. It is then possible for you to select, from all the available evaluation data, what types of information should be reported for each purpose. Of course, some data might have multiple uses and would thus be reported for more than one purpose. Such an evaluation system would be flexible, parsimonious, and efficient.

In the past, human service agencies have been concerned primarily with meeting external demands for information (i.e., program justification). While this is a valid reason for evaluating, it is by no means exhaustive, as is illustrated in Table 1. Used appropriately, evaluation becomes much more than a means of justifying programs. As a management function rather than a periodic activity, it gains a permanent structure and role within human service agencies. In most cases, the management team outlines the evaluation before delegating the responsibility for conducting it to one of its members. That person then feeds the evaluation results back to the team, which makes any program revisions it deems necessary. In this way, evaluation becomes an integral part of the program rather than an afterthought; as such, it can directly influence both long-range and day-to-day decision making.

By including the development of evaluation procedures as part of the program planning process, the disadvantages of after-the-fact evaluation, such as increased costs, can be avoided. For example, going to six different sources to collect six pieces of information on a client is much more expensive and less efficient than designing a form at the outset to bring the information together. Also, due to increased costs, the validity of after-the-fact evaluation often suffers. Moreover, developing evaluation procedures in conjunction with staff at the outset of the activity rather than springing the evaluation on them later, tends to result in more realistic evaluation procedures and breaks down defensiveness and resistance among those being evaluated (Department of Health, Education, & Welfare, 1972).

Evaluation Criteria

Once management team members have determined the purpose(s) of the evaluation they intend to conduct, they must choose the criteria by which they plan to judge the program. There are several types and categories of evaluation criteria. Criteria may be relative, as in the case of an input/output ratio. For example, one placement specialist might help eight clients a month find a job (1:8), but two placement specialists might increase the number of clients served only to 10 (2:10). Other criteria, such as national standards or data from other programs, may be absolute. Data on the cost of community-based sheltered living programs, for example, may be used to help evaluate residential institutions. Criteria usually fall into one of the following categories (Schuman, 1967):

- *Client/community impact* (how far performance goes in reaching the total unmet needs of clients and the community);
- *Program efficiency* (relationship between program input and program output);
- *Program effectiveness* (relationship between program output and program objectives);
- *Program management* (quantity and quality of program effort).

Examples of criteria that fall into these categories (Schuman, 1967) are given in Table 2. Note that the evaluation criteria described here are different from *criterion* (described in Session 4), which is part of the objective. Criterion is simply a means of determining when the objective is complete. Although it is essential to the program plan, it is only one example of one type of evaluation criteria—effectiveness.

Table 2
Criteria Used in Evaluations

Criteria	Examples
Client/community impact	1. How much have community attitudes been affected? 2. How much consumer satisfaction exists and in what areas? 3. What portion of the total client population is being served?
Efficiency	1. How are service costs shared? 2. Can objectives be met at a lower cost? 3. Are time and resources put to maximum use?
Effectiveness	1. Does the program meet its objectives? 2. How did activities within the program affect outcome? 3. How did activities outside the program affect outcome?
Program management	1. Is the program proceeding according to schedule? 2. What is the quantity and quality of administrative support for the program? 3. How does the program effort compare with local or national standards?

It is always desirable to use *multiple criteria* in program evaluation. Any activity has many causes and effects, and no single measure can adequately reflect what is happening in a program or clearly indicate how the service delivery system could be improved to result in increased gain for clients (Spaniol, 1977). In the human service field in particular it often is difficult to quantify the effects to be measured; criteria selection must be well conceptualized and broadly based to be effective.

Even though the evaluation criteria should be stated in the program plan as it is developed, management personnel should be aware of the potentially biasing effects of criteria selection (Spaniol, 1977). For example, suppose you are evaluating the activity level of clients in a new sheltered living program. The evaluation results would probably be more positive if the criteria deal with the percentage of the day that clients are not passive than if you decide to measure how often clients are engaged in age- and culture-appropriate activities, even though the latter is a better measure of program success.

Furthermore, when staff are familiar with the program plan and know on what basis the program will be evaluated, it is only natural for them to focus their efforts on working to meet specific evaluative criteria rather than on working toward the agency's goals and objectives as a whole. It is important to minimize such biasing effects. As Spaniol (1977)

points out, criteria selection requires sensitivity to important issues and the courage to examine oneself openly and honestly. Once criteria are selected, managers and other staff should be encouraged to work toward the agency's overall goals and objectives, knowing that if the job is done well, not only will evaluation criteria be met, but also the agency will advance toward achieving its total program goals and mission.

The purpose of the evaluation and the criteria you plan to use are closely interrelated. For example, if you are conducting an evaluation in order to justify your program to external funding sources, you would choose criteria primarily concerned with the quality of services and their cost. If you were reporting to a consumer group, legitimate criteria might include how much public awareness has increased and what changes have been brought about in the community. In an internal organizational development evaluation, however, emphasis might be on the quantity and quality of administrative support a particular program has received and how quickly various types of staff were hired for a new program.

Thus, different types of evaluation may focus on different aspects of an agency's functioning, or even different parts of the same program. Criteria may apply to one program or to the relative worth of several. Clear objectives, and explicit strategies for meeting them, make criteria easier to set and evaluation data easier to gather. Moreover, sound program planning facilitates the transition from data to information. Questions posed during evaluations should be stated in such a manner that they can be answered through the gathering of appropriate, available data. And any evaluation system must be comprehensive and flexible enough to include evaluations with different focuses that can answer a wide variety of questions.

Types of Evaluation

Regardless of the purpose of the evaluation or the kinds of criteria you choose to employ, two basic types of evaluation—process and product—are most often utilized. As discussed in Session 4, *process evaluation* focuses on whether or not the strategies outlined in the program plan are being carried out, while *product evaluation* measures the extent to which these strategies are accomplishing the objectives of the plan.

Both process and product evaluations of a program plan often are based on the agency's individual program planning system (Parham, Rude, & Bernanke, 1977). Data from these individual client program plans can tell you where each client began, what objectives were reached, and what strategies were used. By compiling this individual client information on groups of clients that are served in a particular program, you can obtain essential data on the program's overall effect.

For example, a product evaluation of a program might tell you that 50% of the clients enrolled in the program reached their objectives within the first two months, but 35% of the clients took six months to reach their objectives, and another 15% never reached any of their objectives. An analysis of the process evaluations would then be necessary to determine what strategy differences, if any, exist among the groups of clients. You might learn from the process evaluations that virtually all the clients who reached their objectives had expressed a desire to participate in the program before actually being enrolled. Although your final decisions would be based on the total information yielded by the evaluation, you might, at this point, begin to suspect that client attitudes and expectations have a tremendous influence on success or failure in the program.

Although all program evaluations are not based on a compilation of individual client data, these data can be used in a multitude of ways and often are indispensible in revising programs and in making managerial decisions.

Data Collection

Because evaluation is not dependent upon any particular methodology, you can utilize a wide range of techniques for learning about your agency. These include Program Analysis of Service Systems (Wolfensberger & Glenn, 1975), case reviews, case flow analyses, needs analyses, task forces or committees, cost/benefit analyses, evaluative research, and intuition (Research Utilization Laboratory, 1977).

Gathering data can be greatly simplified by using appropriate sampling techniques. Just as a doctor can make a statement about a patient's entire blood system based on lab work done on a tiny vial of blood, so human service agencies can draw conclusions about their clientele as a whole based on information about a large enough random sample of clients. The importance of randomness in drawing samples cannot be overemphasized: Whatever is present in the clientele must distribute itself in a random fashion. If you can randomly select a sample, you can reduce considerably the cost of conducting evaluations. Instead of examining files on 1,000 clients who have gone through a program, you can draw a careful sample of 100 clients and come up with results that are as certain as the results that would have been obtained from examining all 1,000 (Department of Health, Education, & Welfare, 1972).

Another consideration in data collection is the use of control groups. A control group is similar to a group receiving services in every respect except that services are withheld from the control group. Using a control group enables you to show that the services you provide have a better effect than providing no services. Control groups are rarely used in human service evaluation since, understandably, human service providers are reluctant to withhold from anyone services that are thought to be effective (Department of Health, Education, & Welfare, 1972). However, when control groups *can* be used, they greatly enhance the validity of positive findings.

Promotion of Positive Attitudes Among Staff

Although some people say that it is necessary to use outsiders in order to get a truly unbiased evaluation, others counter that it is too costly to be feasible for many agencies and probably is not really essential. But regardless of who conducts the evaluation, the way in which it is approached is largely responsible for determining whether or not it will be useful in making managerial decisions and program adjustments.

Because evaluation is a relatively new activity within most agencies, and because the results of an evaluation often point up the need for change, direct care and other support staff who work in the program to be evaluated may be resistant to the idea in general and to the results in particular. In reacting to new ideas or changes, individuals go through the following discrete stages (Leary, 1972; Linberger, 1960):

1. *Awareness* (receiving first knowledge);
2. *Interest* (seeking more detailed information);
3. *Evaluation* (weighing existing evidence);
4. *Trial* (acquiring information about how to implement new knowledge and tentatively trying it out);
5. *Adoption* (integrating the knowledge into the existing operation).

Based on this awareness-to-adoption continuum, the Department of Health, Education, and Welfare (1972) has formulated the following generalizations:

1. New ideas are not adopted immediately.
2. Although impersonal information sources can create awareness, interest, and some evaluation, personal sources usually are necessary for trial and adoption.
3. "Opinion leaders" (persons who are respected by other members of the group because of rank, status, role, or personality) must be identified and must "legitimize" new ideas before they will be adopted by the group.
4. The target group must perceive the need for change and must be involved in its planning.
5. Adoption is less difficult when the change has clear-cut advantages over the procedure(s) it seeks to replace. Demonstration of the new procedure(s) often is necessary.
6. The change should be consistent with the existing value structure.
7. Chances of adoption are increased if the innovation will not increase expenditures.
8. Partial adoption may be a necessary precursor to full-scale utilization.

Some staff may have negative attitudes toward evaluation. They may perceive it as a threat, a way of exposing their mistakes. It is up to you, as the evaluator or simply as a member of the management team, to project a positive attitude toward the evaluation process. Show how it can point up staff expertise and accomplishments, thus leading to recognition for good work and more effective programming. Make it clear that evaluation is not a punitive process and that management is not "out to get" anyone. Rather, it is a means of assisting staff by providing information that can help make their jobs easier and more successful. Staff should be given an opportunity to develop rapport with you. They must understand the evaluation procedures and accept them as legitimate if the evaluation is to be optimally useful and successful.

Based on the preceding generalizations concerning resistance to change, your most prudent course of action would be to:

1. Give staff advance notice of upcoming evaluations.
2. Explain the purpose of the evaluation (i.e., program justification, planning and policy analysis, or organizational development).
3. Involve opinion leaders in planning the evaluation procedure.
4. Explain to other staff exactly what procedures are to be followed, both in the overall evaluation procedure and in specific data collection.
5. Encourage staff participation in the evaluation and agree on the responsibilities of staff and evaluator.
6. Discuss the results of the evaluation with staff. Focus on *alternatives* to current practices rather than merely pointing out what is wrong with them.

When staff are aware that an evaluation is going to take place and why, when they know their responsibilities in the process, and when they know that they will get feedback—some of it positively reinforcing—after the evaluation is completed, they are more likely to accept evaluation as a useful tool both for them and for management.

The surest way to combat resistance to change is to involve staff from the beginning. According to McGregor (1960), "help" must always be defined by the recipient; evaluating

a program and then deciding on changes in procedure or even giving suggestions to staff "for their own good" is not likely to be productive. Nor is it good management to ask one group to provide you with information that will be used in the control of another group.

Acceptance of the evaluation process is further encouraged if an agency has instituted the principle of integration or "the creation of conditions such that the members of the organization can achieve their own goals *best* by directing their efforts toward the success of the enterprise" (McGregor, 1960, p. 49). Staff then have a vested interest in change based on evaluation results.

Spaniol (1977) stresses the importance of this "positive climate for change" in which the agency encourages, facilitates, and reinforces evaluation and review of professional practices. This creates a situation in which people will likely want to change in desirable directions and makes it possible to use evaluation as a positive, innovative force.

Conversion of Data to Information

Once the evaluation has been conducted, the person in charge of its implementation must convert the collected data into usable form. Rather than flooding the team with a barrage of disorganized facts, the evaluator should structure those facts in an ordered, intelligible manner (Spaniol, 1977). Only then can the results of an evaluation be used to influence policy and decision making, and only when evaluation is used in this manner will it become a legitimate part of program planning rather than merely a periodic activity.

In converting data to facts, however, it is extremely important not to establish causation from correlations. For example, an evaluation may show that until six months ago program staff were stable, but during the past six months a high turnover has occurred. The same evaluation might also show that last year in most of the programs clients were making satisfactory progress toward the specified objectives, but 90% of them have not made satisfactory progress during the last six months. It does not necessarily follow, however, that staff turnover has caused the lack of client improvement. A possible explanation may be that some third factor (e.g., a dictatorial program supervisor) is causing both problems or that staff turnover is only one of several factors that is affecting client progress. In either case, the program evaluation has served a valuable function in highlighting the problem and in providing data that can serve as an information base for decision making. To continue the process, the evaluator must be capable not only of transforming that data into information, but also of helping the management team to interpret the information properly.

Once data have been converted into information, it is extremely important that the information find its way back into the program planning system. Revisions, based on the information obtained during evaluations, frequently may be necessary. In fact, merely attempting to determine ways to evaluate can necessitate changes in the program plan; ambiguities in objectives and strategies often are overlooked until it becomes apparent that they are impossible to evaluate. Thus, the program plan should not be fixed and immutable. Whether revisions are based on an attempt to develop evaluation procedures, or on the information that results from the evaluation, they are essential in insuring that program planning is a continuous process rather than a discrete activity.

Any evaluation should yield two types of information—that intended for staff and that intended for decision makers. Because each type of information is equally important, it is essential that feedback mechanisms for both groups be built into the evaluation system at the time it is developed. When this occurs, both staff and management will believe that the evaluation is important to them and they will expect to use the results.

Based on the information obtained from evaluations, the management team may make one of four decisions (Collignon, Thompson, Zwada, & Markowitz, 1972):

Expand the program because it has been successful but needs to reach more clients;

Terminate the program because it is not meeting its objectives, because its objectives have already been met, or because its costs are prohibitive;

Continue the program unchanged because it is meeting its objectives in the most efficient manner;

Revise the program because it is not meeting all its objectives, because it is not meeting its objectives in the most efficient manner, or because it does not interface properly with other community services.

In some cases, a single evaluation will yield several decisions. In examining the relative worth of several programs, for example, the team may determine that one must be expanded, another terminated, and still another continued unchanged in order to insure that the agency's clients receive the most appropriate services in the most efficient, effective manner. The same may apply to different projects within a single program. That is, the management team may decide to terminate one program project while continuing another unchanged.

Implementation of Decisions

Finally, some mechanism for implementing decisions should be included during the development of the evaluation component of the program plan. If the team is working to prevent resistance to change by involving staff even in the planning stage, implementation will not be nearly so difficult.

A system to monitor the implementation also should be instituted and as soon as a new or revised program is underway, a further evaluation should be made. In this way, the evaluation system provides a constant flow of information which affects the shape and direction of future program planning. Rather than a periodic activity initiated only as an afterthought, it becomes a vital part of each program plan.

Conclusion

All of this adds up to the need for a comprehensive approach to evaluation which encompasses all of the agency's evaluation needs at every level of functioning. The overall effect of your total program, rather than simply the achievement of specific objectives, should be scrutinized (Department of Health, Education, & Welfare, 1972). An outline of one such comprehensive model (Spaniol, 1975) appears in Appendix B of this manual. Following a comprehensive program evaluation model such as this one can contribute substantially toward conceptualizing, planning, integrating, and carrying out a systematic design for more effective agency operation.

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Now that you have read this chapter, turn back to the checklist on page 6.25 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

Often, as you are devising ways to evaluate, you discover that portions of your program plan are not specific enough. Objectives are the most troublesome in this respect. Until you actually try to evaluate an objective, you may not realize that it doesn't describe observable, measurable behavior, that there's no way of judging its completeness, or that it contains no time limits.

While developing evaluation procedures in the practical applications for this session, you will have an opportunity to revise, if necessary, the objective you selected in Session 5. In preparation for that exercise, complete the following review of what a well-written objective contains.

Making Objectives Behavioral

1. *Choosing observable, measurable behavior.* Indicate which behaviors in the following list are both observable and measurable by marking them with an "X." Do not read the critique until you have completed this step since doing so would bias your answers.

   _____ broaden the scope of the vocational evaluation program

   _____ hold a meeting of program directors

   _____ increase staff awareness of agency goals

   _____ institute a staff development program

   _____ increase the number of clients in the sheltered living program

2. *Critiquing your choices.* Only the second and the last statements in the list above describe behaviors that are observable and measurable. Broadening the scope of the vocational evaluation program, increasing staff awareness of agency goals, and instituting a staff development program would all have to be judged subjectively. To make them observable and measurable you would need to state exactly what would occur in each case. For example, to broaden the scope of the vocational evaluation program, you might decide to increase the number of clients the program serves or to change the age limit from 18 to 21. On the next page, specify at least one observable, measurable behavior for each of the vague phrases from the preceding task.

Broaden the scope of the vocational evaluation program_____

_____

Increase staff awareness of agency goals_____

_____

Institute a staff development program_____

_____

Making Objectives Outcome Oriented and Time Linked

Once you have described behavior that is both observable and measurable, you must complete the objective by including a means of determining when the behavior is complete (or when it will be considered a success) and a time limit or target date.

To review the example used in Session 4: Holding a meeting between agency and advocate representatives is an observable, measurable behavior. Specifying that each group will present 80% of its organization's goals at the meeting and that they will develop a list of the goals which are mutual, is the criterion by which the achievement of the objective can be judged. Saying that the meeting will take place within the next two weeks completes the objective by making it time linked. The entire objective—as a behavioral, outcome-oriented, time-linked statement—should read, "At a meeting within the next two weeks, three agency staff members and a group of advocates from the city advocacy organization will present at least 80% of their respective organization's goals and develop a list of those which are mutual."

Take the two statements from the previous exercise that are observable and measurable (hold a meeting of program directors and increase the number of clients in the sheltered living program) and convert them into complete objectives by making them outcome oriented (adding criterion) and time linked. Use the space below to record the objectives in their final form.

_____

_____

_____

_____

_____

_____

_____

_____

_____

Examining a Previous Attempt

Now that you have completed a brief review of what objectives contain and have practiced formulating them, re-examine the objective for which you wrote strategies in Session 5 (p. 5.21). If it does not meet all the requirements, write a revised objective in the space below. This is essential since you will be asked to develop evaluation procedures for this objective in the next group meeting, and if it is not written properly it will be impossible to evaluate.

Role Playing Evaluation Situations

In this session, you have been introduced to the concept and importance of comprehensive program evaluation. One factor influencing the effectiveness of evaluation is the way in which the evaluator approaches it. In this exercise you will have an opportunity to experience different approaches to evaluation by role playing two situations. Enjoy yourselves, but take the task seriously enough to learn from it.

1. *Role playing the first situation.* ***Your task is to role play an evaluation situation*** in which one group member is an external evaluator and the other group members are agency personnel being evaluated. The evaluation will deal with the program plan you have been developing for your agency throughout this manual. At this time, ***choose someone to be the evaluator; then continue with these instructions.***

   To prepare for the role play, everyone, including the evaluator, should ***individually review the elements of the program plan your group has developed thus far:***

   Strengths/needs list, pages 4.17-4.18
   Goals, page 4.20
   Objectives, page 4.23
   Strategies, page 6.19 or 5.21

   At the same time, ***the evaluator alone should turn to Appendix C.*** Two items are in the appendix; ***the evaluator should read the instructions marked "Evaluator's Instructions for First Role Play,"*** which explain how he or she is to approach the evaluator's role. **Other group members should not read this information** since they should not be familiar with the evaluator's instructions before the role play.

   Stop now and take about five minutes to ***review the materials described above.***

   When everyone is ready, begin the role play by having the evaluator step outside the room. When he or she reenters, the role play has begun. Remember, to get the most from this exercise you should respond as you think a person being evaluated would respond. This, in turn, will help the evaluator get into his or her role.

2. *Discussing the first role play.* ***Discuss the role play by responding to the questions posed below.***

   How did you as group members feel during the role play?

   Have you ever been involved in an actual evaluation that was similar to this one?

   Have you ever found yourself acting as the evaluator did in this exercise?

   How does this evaluation situation compare with what is advocated in this session?

3. *Role playing the second situation.* Now ***role play a second external evaluation situation. Choose another group member to play the evaluator's role;*** again, the other group members will be agency personnel who are being evaluated. At this time, ***the evaluator should*** take about five minutes to ***read the instructions in Appendix C marked "Evaluator's Instructions for Second Role Play." The instructions for the other group members are the same as before:*** they should respond naturally to whatever occurs during the role play situation, and they should not read the evaluator's instructions in the appendix.

   When everyone is prepared, take about five minutes to ***role play the second situation.***

4. *Discussing the second role play.* ***Discuss the role play by responding to the questions posed above.***

Developing Evaluations

Throughout this exercise ***you will be working with the chart on the next page. Remove it from your workbook before proceeding.***

1. *Recording your objectives and strategies.* Take a moment now to ***complete the first two columns of the chart by recording the group's strategies and the objective to which they relate.*** This information can be found on page 6.19 or, if that's not filled in, on page 5.21.

2. *Determining purpose, criteria, and procedures.* Whether you are developing process evaluations (to determine whether the strategies are being implemented as designed) or product evaluations (to determine whether the strategies have helped accomplish the objective), the evaluation should consist of three elements: purpose, criteria, and procedures.

   Begin each evaluation by determining its purpose (see Table 1, p. 7.3). ***Then decide what criteria or additional questions you will consider in your evaluation*** (see Table 2, p. 7.5). For example, if you decide that in addition to determining whether Strategy 1 was implemented, you would like to know whether time and resources were put to maximum use, list this information under criteria. Once you have stated the purpose of the evaluation and determined the criteria you will use, ***you are then ready to develop specific procedures*** (including which team member will be responsible for implementing each evaluation).

   As a group, ***develop one process evaluation for each of the strategies on the chart and a product evaluation for the objective. If,*** in the process of developing these evaluations, ***you discover that your objective and/or strategies are too vague to evaluate, take time to revise these portions of your program plan before proceeding.*** Revisions at this stage of program planning are not at all

Process and Product Evaluations for Two Strategies and an Objective

Objective (from page 6.19 or 5.21)	**Strategies** (from page 6.19 or 5.21)	Evaluations
	Strategy 1	**Process evaluation 1** Purpose Criteria Procedures
	Strategy 2	**Process evaluation 2** Purpose Criteria Procedures
		Product evaluation Purpose Criteria Procedures

unusual, since each step in the program plan is more specific than the preceding one and therefore is likely to highlight ambiguities that previously went unnoticed.

If the objective needs revising, refer back to the ideas you recorded on page 7.15 in the individual preparation section for this session. If the strategies need revising, refer to the principles of strategy development on pages 4.7-4.8 and to the examples in Table 4.

Try to limit your work time to 15 minutes, even if you must take time to revise your objectives and/or strategies.

3. *Critiquing your evaluations.* ***Critique the evaluations you developed by responding to the following questions.***

	Yes	No
Did you revise your objective and/or strategies if necessary?		
Did you define the purpose of each evaluation (i.e., program justification, planning and policy analysis, organizational development)?		
Did you select evaluative criteria as honestly as possible in order to minimize potentially biasing effects?		
Did you select multiple evaluation criteria whenever possible?		
Did you develop both process and product evaluations?		
Did you, as a group, develop the procedures rather than having them handed down from an evaluator?		

If your answer to any of the above questions was "no," take a few minutes to make the appropriate revisions in the evaluations you developed.

Converting Data to Information and Implementing Decisions

In order to complete the evaluation process, evaluators should organize and interpret the data they gather and the team should then formulate program recommendations and feed them back into the system for implementation. Answering the following questions will help you decide how each of these tasks will be accomplished for the evaluations you just developed. Use the space below and on the next page to record the group consensus.

Since you have not actually gathered the data your evaluation procedures specify, you will not be able to interpret it. For this exercise, however, ***speculate about what data your evaluation might generate and how you would organize and convert that data into information. Include any needs the evaluation might pinpoint and suggest ways for overcoming them.*** Be specific.

Evaluation results, if they are not fed back into the program planning system, are useless. ***Identify the groups and/or individuals who should receive the results of the evaluations you developed;*** be sure to include both staff and decision makers and indicate what form the information they receive should take. Then ***describe how you would insure that the general information and specific alternatives you developed in the previous step would reach these individuals or groups.***

As stated in this session, involving staff in the evaluation is one way to minimize resistance to implementing its results. ***What other specific procedures would you use to insure that the evaluation results had an impact, primarily through revisions, on the program planning system?***

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.14 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "Funding and Grantsmanship."*
3. *Read the hypothetical data presented in the individual preparation section. You will need to be thoroughly familiar with this information in order to participate effectively in the group meeting.*
4. *Review the practical applications, but do not read the critique of Phase 1 (pp. 8.17-8.18) since doing so would bias your participation in the group exercises.*
5. *If you are the Session 8 coordinator, arrange to bring a calculator.*

Session 8

Funding and Grantsmanship

The Grantsmanship Process 8.1
The Four-Year Grants Cycle Theory 8.2
The Grants Administrator 8.4
Resources 8.5
Grants Versus Contracts 8.5
The Need for Grant Support 8.6
Basic Principles of Grant Development 8.6
Caveats 8.8
References 8.9
Individual Preparation 8.11
Practical Applications for the Management Team 8.15
Things to Do Before the Next Group Meeting 8.24

Once you have developed a program plan for your agency—outlining strengths, needs, goals, objectives, strategies, costs, and evaluation procedures—how will you fund its implementation? In some cases, the agency might have staff and dollar resources that could be reallocated to implement the plan. Or perhaps the agency could establish a purchase of service arrangement with someone else to provide the new service. In many instances, however, the agency may choose to seek outside funding in the form of a grant or a contract.

This session explores the process of resource development and grantsmanship. Different types of potential funding sources and resources for learning more about them are discussed. In addition, the role of the grants administrator is described, and basic principles of grant writing are outlined.

During this session you will:

1. Establish a need and explore alternative approaches to addressing it.
2. Complete a grant application.

Funding and Grantsmanship

G. F. England

It has been said that the origin of the grant goes back more than 100 years when Congress awarded $30,000 to Samuel F. B. Morse to test the feasibility of the electromagnetic telephone system. Disbursement of funds to worthy causes has since evolved into a complex system involving constitutional law, state and federal legislation, accountancy, management, and administration (Willner & Hendricks, 1972). Today, the use of the grant and the art of grantsmanship requires a working knowledge of federal and state grants as well as corporate and private giving. Many institutions, both profit and nonprofit, private and governmental, have an interest in development of resources for their programs. Almost all need more funding support, and for some, grants are the only means of existence.

The Grantsmanship Process

With the passage of enabling legislation in the 1950s and 1960s, federal rather than private monies provided funding for human service programs. Since then, hundreds of federal granting agencies have been established to disburse tax money for public and private causes.

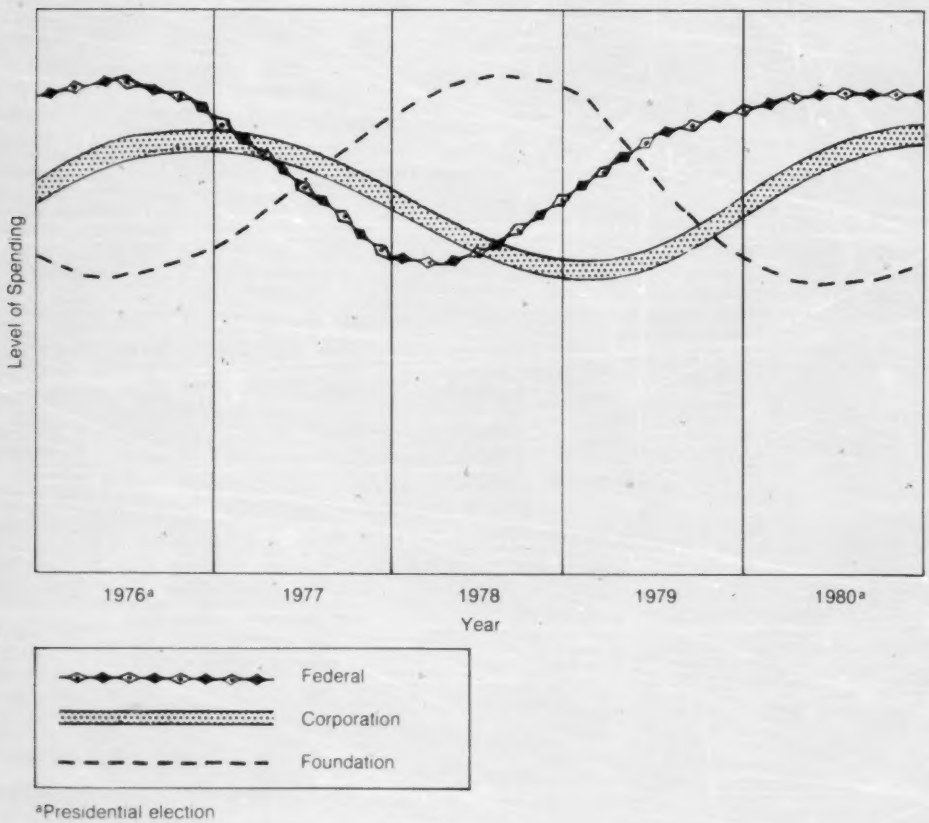
Congress annually authorizes and appropriates approximately $56 billion in grants and contracts to be awarded by more than 400 agencies. Those that administer a large share of federal funds are the Department of Health, Education, and Welfare; the Department of Labor; the Department of the Interior; the Department of Justice; and the Department of Defense. It is extremely important to devise and execute ways to take advantage of funds already available through this federal system.

For a potential grantee to be successful in applying to a federal agency for support, the organizational grants officer must examine carefully any pertinent information about the agency's history, traditional funding patterns, and the current climate for funding. An obvious method of analyzing the federal grant picture is to look at federal agencies' annual budget requests to Congress. The grants officer can then analyze actual appropriations made to programs for which his or her organization is an eligible applicant, keeping in mind that there is a scramble by federal agencies at the end of each fiscal year to encumber their full appropriation so that funding levels will not be scaled down the following year.

As a result of evolving federal tax laws and a desire by private philanthropists to maintain control over their giving, more than 26,000 private foundations and charitable trusts also have been established. Foundations today distribute approximately $25 billion annually. Under current tax laws, foundations must pay out not less than 5% of their assets each year. There are various kinds of foundations including general purpose, special purpose, family, community, and corporate. Each has its own history and unique objectives.

The Four-Year Grants Cycle Theory

One of the difficult jobs for a grants administrator is determining where and how to allocate time in order to optimize resource development efforts. Knowing *where* to go for grants is necessary for achieving positive results; knowing *when* to go is an important time-saver. University Resources, Inc., a New York funding consultation firm, has developed the four-year grants cycle theory (*Grantsmanship News*, 1975a) to help grants administrators allocate their time. The theory is based on a 12-year statistical analysis of where and when grants have been made by the three major sources of funding: federal, corporation, and foundation. The results show a clear pattern of funding. In every presidential election year federal spending on grants and contracts increases. Corporations become one of the chief beneficiaries of such spending, which translates into higher dividends for stockholders. Private foundations are usually the largest stockholders and thus the chief beneficiaries of these dividends (see Figure 1).

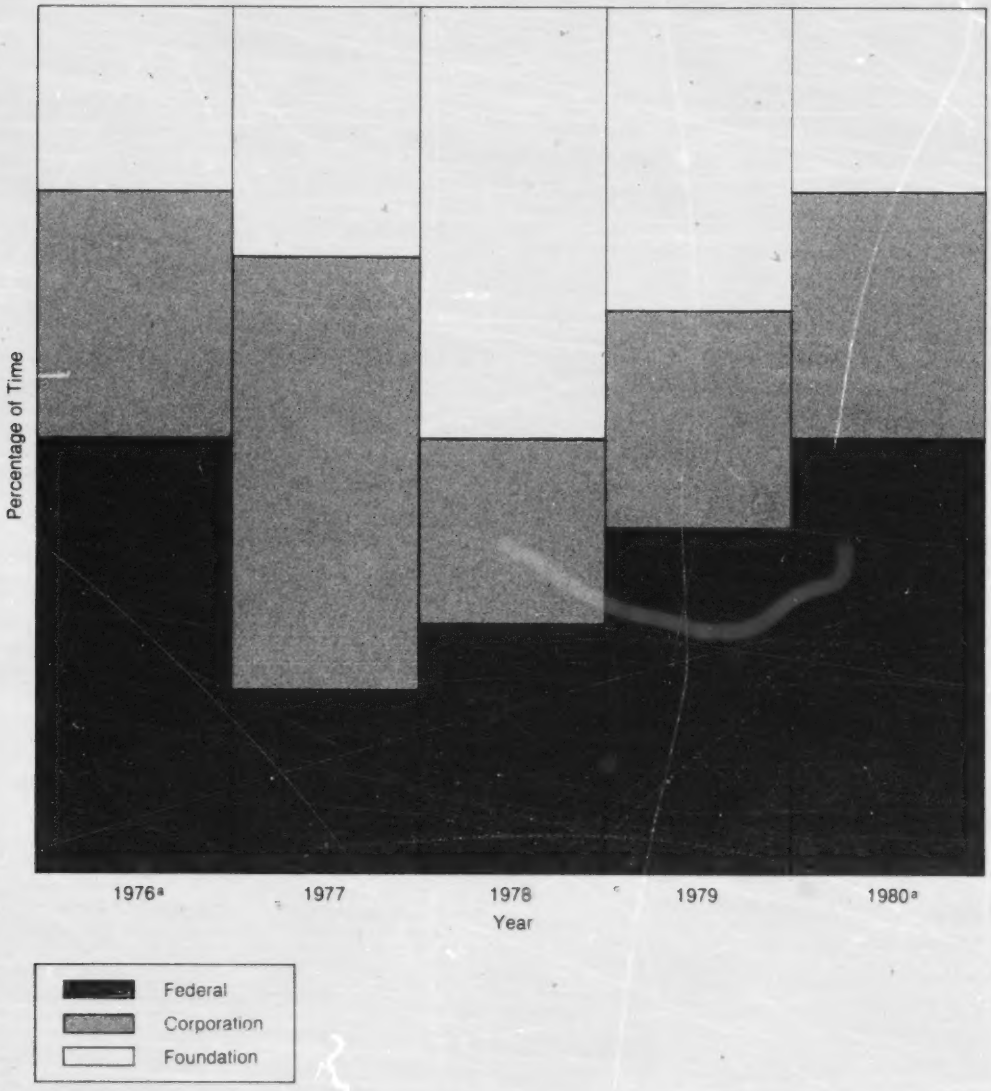


[a]Presidential election

Figure 1. Four-year grants cycle theory.

This pattern makes it possible to determine the percentage of time that should be allocated to each funding source. Time spent with each of the three sources of funding in any one given year is in preparation for the next year's funding cycle. In other words, if grants administrators spend 100% of their time with one source of funding in any one year, they would do little, if anything, to prepare for "optimal funding" years for the other sources.

In a presidential election year like 1976, for example, 50% of the grants administrator's efforts should have been devoted to federal agencies; 30% to private corporations, since they would be in the most favorable position to make grants from their earned profits; and 20% to private foundations (see Figure 2). In 1977, however, 50% should have been spent



[a]Presidential election

Figure 2. Allocation of grants administrator's time.

163

with private corporations, 30% with private foundations, and only 20% with federal agencies. (The statistics show that in most years following a presidential election year, there is a reduction in funds from the federal agencies. In this second year of the cycle, foundation proposals and approaches for the next year should have been prepared.) In 1978 the grants administrator should spend 50% of his or her time with private foundations, 30% with federal agencies, and only 20% with private corporations. Since federal spending starts to increase approximately 18 months prior to the national presidential election, 1979-1980 should see a return to a 50% time expenditure with federal agencies.

A further refinement of the cycle concept of government spending involves allocating additional time to federal resources during a period of economic recession. A recession interrupts the normal four-year cycle because of increased government spending designed to counteract a slumping economy. During recessions a grants administrator should allocate time as if it were an election year.

While the four-year grants cycle theory should not be the only basis for allocating the time and efforts of the grants administrator, it is a useful tool which has been integrated into a growing number of grants management programs.

The Grants Administrator

The administration of grants in an organization is usually dictated by the agency's interest in and dependence on grant funding. The grants administrator, or coordinator, must be both manager and "middleman." He or she continually explains and defends the legitimacy of the agency to granting sources and usually interprets the unwritten rules of the game to those within the agency as well. The true role of the grants administrator is that of a low-key, background salesperson who will insure that grant projects are completed with a minimum of red tape and restriction.

Increasingly in recent years, grants administrators have seen the advantages of treating grant monies as just one type of resource for which they have responsibility. In the same way that they identify potential funding and act as liaisons between their agencies and funding sources, grants administrators also can provide a much-needed service by developing a knowledge of nonfinancial resources and acting as consultants to agency staff.

Typically, the chief executive officer of an organization will appoint a key staff member to serve as grants administrator for the entire agency or institution (Hill, 1972). In many smaller organizations, however, the person selected as grants administrator often may have a variety of additional responsibilities. In the smallest agencies the executive director may even fill this slot. The important consideration, in any case, is that *someone* be assigned the responsibility of monitoring and managing the grants portfolio.

Hill (1972) characterizes the successful grants administrator as a key member of the management effort who must be creative, persuasive, and able to organize and write clearly, as well as have a knack for being both tactful and persistent. He or she must fully understand the agency's administrative protocol, both formal and informal, and have a thorough knowledge of the organizational mission (including accounting and financial management operations).

The grants administrator should be a promoter who identifies possible constraints as well as available resources. He or she should not be isolated or restricted in efforts to aid in the development of grant projects and should have free and open communications with the chief administrator, all department heads, and principal investigators. Hill (1972) also

stresses the importance of having the chief administrator of the organization make it clear that all grant projects and proposals are to be coordinated through the grants administrator. This prevents duplication of effort, administrative conflicts, and public relations problems that arise without proper coordination. At the same time, the grants administrator must use tact and discretion in dealing with interdepartmental managers and maintain good communications with them at all times.

Because the grants administrator operates both in a management capacity and as an intermediary between the organization and potential funding sources, he or she should report directly to the chief administrator. This arrangement enables the grants administrator to defend the organization to a potential funding agency and to act with authority in a positive public relations role. It is helpful if the specific duties of the grants administrator are outlined in a job description.

Resources

Every organization that solicits grant support should have a comprehensive grant resource reference library. It should be located in the grants administrator's office, but the material should be indexed and easily accessible to potential project investigators. A suggested resource list with descriptions of useful publications and information on how to obtain them is provided in Appendix D at the end of this manual.

Basic publications that should be available include the *Catalog of Federal Domestic Assistance* (CFDA) and the *Foundation Directory*. The CFDA contains descriptions of more than 1,000 programs administered by 54 federal agencies. It is updated each year and should be regarded as the basic resource reference for federal grant and contract programs. The *Foundation Directory* provides a representative cross section of larger national foundations; it lists each foundation by name, state, location and field of interest and the format provides a concise picture of the grant-making activities of each. The grant resource reference library also should contain general information pertaining to government granting agencies (i.e., manuals on federal funds, annual reports, application forms, and general information about federal resources). The same information should be available for private granting agencies, including local and national foundations and trusts as well as voluntary granting agencies and corporations.

Grants Versus Contracts

Applications for federal support are available through both grants and contracts. Basically, a grant consists of funding for what an *organization* would like to accomplish, whereas a contract consists of money to carry out projects the *funding source* deems important. Although the grant has been the traditional funding mechanism used by the federal government since the early 1960s, an increasing amount of federal funding is currently being distributed through contracts. This subtle evolvement has made it increasingly important that grants administrators also be competent contract administrators.

A typical grant application requires a long lead time to allow for processing through local and regional federal review and comment systems. A contract, on the other hand, is a bilateral agreement between a contracting officer and a principal investigator that requires much less red tape and review and is, therefore, much easier for federal funding agencies to administer. As a result, federal agencies are now increasingly utilizing the contract, in lieu of the grant, to disburse funds.

At first glance, it would appear that most grantees should pursue the federal contract instead of the grant. In reality, the increased use of the contract puts most state agencies,

institutions, and private nonprofit organizations at a disadvantage since they usually do not have adequate time and staff expertise to respond to an advertised Request for Proposal (RFP). Because many private organizations have high-powered staff who are trained to formulate polished responses to RFPs in the brief time allotted, they are in a much better position to capture contract monies.

The Need for Grant Support

Because of statutory limitations, state agencies and institutions are sometimes restricted in the kinds of state grant-in-aid they can receive, while many private agencies are unable to provide the number or quality of desired services with limited local funding. Thus, the need for funds to support innovative or special programs is normally a priority with most public and private agencies. But regardless of how much money is received through a grant, it will rarely cover the total cost of the project. A grantee usually is required to make a substantial commitment in terms of either direct or indirect costs.

Ideally, applications for a grant should be prompted by a desire to solve a particular problem, to do something unique, to develop a way to reduce costs, or to expand services or space currently occupied so that additional services may be provided. It is important for a prospective grantee organization to research thoroughly its current programs and objectives and to assess its unique needs before applying for grant support. One of the most serious mistakes a potential grantee can make is to go after money simply because it is there; instead, organizations should identify pressing needs and apply only for grants that would specifically meet them. The needs identification process might include consultation with the organization's board of directors, other professionals, and potential recipients of service. It also might involve reviewing relevant legislation, literature, and agency records of any past efforts in the area. A potential grantee should never ask,"Where is there funding available?" without first asking, "What are our needs?" To apply for funding simply because it is available usually creates rising expectations among those served and often does not satisfy their real needs, even when money is received.

Basic Principles of Grant Development

A successful grants or resource development program begins with a commitment by the chief grants administrator. When this person is involved in setting the specific goals and objectives toward which the program is to work, and when these correspond with personal aims, he or she is likely to perceive them as reasonable and worthwhile. Under these circumstances, the grants administrator will be most likely to use his or her full knowledge of available resources and to develop personal incentives for working toward organizational goals.

A common error in developing a grants program is formulating strategies before goals and objectives are clearly established. If you are the grants administrator for your organization, or if you are otherwise involved in seeking outside funds, *Grantsmanship News* (1975b) suggests the following grant development process. Begin the summary and analysis of a particular need by gathering pertinent data about the existing situation.

What, if anything, is currently being done about the need?
Where is it done?
When is it done and how often?
Who is doing it?
How is it done?
Should it be done at all?

Demographic data, forecasts, opinions, records, statistics, and assumptions previously made also should be incorporated in this survey.

The next step is further analysis of what is being done through a series of "why" questions.

Why is it done?
Why is it done there?
Why is it done at this time?
Why does this person do it?
Why is it done this way?

Answering an additional series of "why" questions about the proposed course of action also might be useful.

Why should it be done?
Why should it be done there?
Why should it be done at this time?
Why should this person do it?
Why should it be done this way?

By playing the devil's advocate with the facts, you can anticipate questions a potential grantor will ask when a proposal is submitted.

Both governmental and private agencies usually have specific directions and formats for presentation of a written proposal. *It is extremely important to follow the proposal application explicitly.* Specific formats usually serve two purposes: They enable the potential funding source to explore and contrast the specific strengths and weaknesses of proposals submitted, while revealing a great deal about the self-discipline of the proposal writer and the structure of his or her agency.

A successful funding proposal must first delineate the factors bearing on a need so that clear objectives and strategies can be devised. In preparing for submission of an idea, you must undertake a review of the current literature on the problem. Know what has been successful in similar efforts in the past and what is possible for the future. Talk to other professionals and possible recipients of the service proposed, and incorporate their ideas in the proposed project. Always ask questions and elicit opinions and suggestions from those most knowledgeable about the proposed project.

The proposal narrative is where the idea must be sold in concise, easy-to-understand language. It should be divided into the following topical subheadings for logical presentation and rapid cross-reference (*Grantsmanship News*, 1977):

1. *Statement of the need.* "Identify the problem or opportunities to which the project would be addressed" (p. 1). To demonstrate commitment explain what, if anything, your agency is already doing about the need or opportunities. "Show that you are aware of what other individuals, organizations, and agencies are doing and relate it to what you propose to do" (p. 1). Results of a literature search always should be included. In some cases a needs assessment can be helpful as well. Determining the needs of an institution's client group and of the institution itself provides a quantitative, qualitative decision-making base for establishing objectives.
2. *Client group or beneficiary.* "Define the client or other beneficiary group with which project personnel would be working. Explain how this group has been involved in project planning, in identifying needs and in determining appropriate objectives. Tell how many persons will be involved in the proposed program" (p. 1). Determine the ratio of number of beneficiaries to total cost and compare it to that of alternative programs elsewhere.

3. *Objectives.* "List the objectives of your proposed program. . . . Relate them to the problems or opportunities described above and to the results of your needs assessment. Don't make your objectives too ambitious; keep them explicit [and attainable]. Objectives should be an expression of intent, indicating a specific task which can be achieved within a time frame and which can be measured or verified" in quantitative and qualitative terms (p. 1). Objectives should describe in straightforward, understandable language exactly what the project will achieve.
4. *Strategies.* Give a detailed description of the procedures or protocols that will be involved in accomplishing each objective listed in the proposal. Present a step-by-step work plan in chronological order with a timetable. Include such things as program content, methods, materials, and frequency and duration of activities. Explain any involvement on the part of other concerned organizations and agencies, and include letters of support and commitment from them in an appendix. Emphasize any innovative features of the plan.
5. *Evaluation and dissemination.* Establish a procedure for measuring progress toward proposal objectives and outline a method of disseminating your results to others. These two aspects of grant development are becoming important considerations in federal grant awards.

The information in Session 4 and 7 on goals, objectives, strategies, and evaluation procedures offers further guidance for writing the parts of a proposal narrative.

In addition to the narrative, most grant applications include a specific format according to which the budget is to be prepared. In developing this portion of the proposal you should provide written justification for all budget items, indicating how they were derived and why they are needed. Particularly strong justification is necessary for any unusual, questionable, or especially costly items.

Caveats

There is no standard set of rules for grant or contract proposal writing; however, it is important to know the generally accepted guidelines when seeking grants from either public or private funding organizations. Your grant proposal should be clearly thought out and reflect a simple, straightforward plan of action to accomplish some worthy objective. You must insure that the funding source is legally allowed to fund the proposal and that your agency is qualified to receive funding under the grantor's rules. The trend today is toward brevity and conciseness, and the successful proposal is one that can be understood by both technical specialists and informed laypersons. In most cases, if you do your homework well, the factors bearing on the proposal can be stated in two or three pages. If supporting documents are absolutely necessary, they should be treated in a paragraph in the body of the proposal with the specific data attached as an appendix. Remember, when applying for federal or private funding, *follow without deviation the specific application instructions provided by the potential grantor.* Most grantor agencies want the same information, but each will have its own format for requesting the data.

Keep in mind these dos and don'ts in planning and developing grant applications:

1. Learn all you can about the funding source, its present concerns, and whether or not it would be interested in your project.
2. Insure that your proposed project is needed and that you are not simply applying because "the money is there."

3. If applying to more than one source, make sure each presentation is tailored to the requirements of the potential grantor.
4. Enlist the help of your colleagues and, for a federal grant, be sure to contact your federal regional consultants for assistance.
5. Avoid personal pronouns and present your project in terms of service to the community.
6. Develop a well-constructed evaluation component. If the evaluation procedure is inadequate, it could kill the proposal quickly.
7. Meet all submission deadlines.
8. Do not attempt to use congressional influence to sway the awarding of grants to government agencies unless you can document inadequate review or preferential treatment toward other grantees.
9. Do not try to bypass established channels.

If your proposal is funded, remember these two additional principles:

10. Do not accept funding if you cannot meet the terms and conditions of the grant.
11. Insure that all records are kept in accordance with the grantor's guidelines and that all expenditures can be justified and documented.

References

Grantsmanship news. New York: University Resources, Inc., February, 1975. (a) (Four Gramercy Park, New York, NY 10003)

Grantsmanship news. New York: University Resources, Inc., September, 1975. (b) (Four Gramercy Park, New York, NY 10003)

Grantsmanship news. New York: University Resources, Inc., October, 1977. (Four Gramercy Park, New York, NY 10003)

Hill, W. J. *Successful grantsmanship.* Denver, CO: Grant Development Institute, 1972. (2525 West Main Street, Littleton, CO 80120)

Willner, W., & Hendricks, P. B., Jr. The rise and fall of grants. *Grants administration.* Washington, DC: National Graduate University, 1972. (1101 North Highland Street, Arlington, VA 22201)

Now that you have read this chapter, turn back to the checklist on page 7.23 to see what else you need to do to prepare for the next group meeting.

Individual Preparation

In the practical applications for this session, your group will be asked to practice the grantsmanship process based on the following hypothetical data. Read the data carefully before the next group meeting and be prepared to suggest related objectives, strategies, evaluation procedures, dissemination methods, and budget items. In order to understand how the data will be used, you may find it useful to review the practical applications first. However, do not read the critique of Phase 1 (pp. 8.17-8.18) since doing so would bias your work in the practical applications.

Serving Handicapped Citizens in Harder County

Harder County, with a population of about 225,000, is recognized as one of the fastest growing counties in the nation. Its one sizable town, Hub, has a population of 180,000; the rest of the county consists of rural areas dotted with small towns, each having 5,000 or fewer residents. Hub is home for more than 250 manufacturing plants, and the county is a prolific agricultural area. A university serving 22,000 students and a private college enrolling about 2,000 students are located there. It also offers a variety of entertainment and recreational facilities, including a 3,000-acre outdoor park system.

Twenty agencies in Hub and Harder County, both governmental and nongovernmental, provide a wide range of services to the county's handicapped citizens. These agencies include a mental retardation institution, a county mental health/mental retardation center, the public school system, a housing authority, a department of human resources, a family service association, some job training and placement centers, some sheltered work programs, an association of governments, a United Way, and several specialized psychological, educational, and medical clinics. The services offered by these agencies include diagnosis, evaluation, counseling, referral, follow-up, medical services, dental services, education, psychological services, social casework, physical therapy, occupational therapy, speech therapy, recreation, transportation, housing, sheltered work, vocational training, job placement, child care, public information, and advocacy.

The agencies have an average caseload of about 300 clients, and 60% of the clients served have a primary disability of mental retardation or learning disabilities. In their annual reports, several agency directors recently indicated that there is a lack of coordination among and continuity in existing services to handicapped individuals in Harder County.

They also reported their impression that many of Harder County's 18,000 known handicapped citizens are currently unserved. One of the greatest service gaps, the agency directors stated, is a severe shortage of special living arrangements or appropriate living quarters for handicapped persons.

Currently, two agencies are operating a total of 10 community-based residential facilities for moderately handicapped persons in Harder County. Of these facilities, eight are located in homes in the community and are serving a total of 48 mentally retarded clients. Two companion living programs offer a more independent lifestyle for 12 mentally retarded clients who live in an apartment setting with nondisabled companions. Most of these programs are relatively young, having been established around the time of the presidential election three years ago. No community-based residential services are currently available in Harder County for severely handicapped persons.

Forming TRY

A group of concerned citizens of Harder County who were convinced that many severely handicapped persons in their area did not have appropriate living quarters, decided to do something to establish such services. They met with personnel from the six agencies most directly concerned with the provision of residential services for handicapped persons in Harder County. The agency personnel reported that they were aware of at least 144 severely handicapped individuals who needed, but currently did not have, special living arrangements. These included 64 females and 80 males, who ranged in age from 16 to 72 and had a variety of handicapping conditions such as mental retardation, deafness, emotional disturbance, epilepsy, cerebral palsy, congenital abnormalities, and blindness. They also varied in their degree of self-sufficiency, with some needing a live-in supervisor and a substantial amount of supervision in their daily routines, and others being practically self-sufficient. None of the agencies is currently able to provide residential services for these persons. One of them responded to a recent Request for Proposal to establish such services but the proposal was not funded, and no other RFPs have been issued for residential services for severely handicapped individuals.

The citizens and agency representatives organized themselves into an 18-member board composed of consumers, professionals, service providers, and community leaders. Six months ago, on September 15, they incorporated as a nonprofit organization known as Tailoring Residences for You (TRY) for the purpose of coordinating the provision of residential services for the severely handicapped citizens of Harder County.

Exploring Potential Funding Sources

Currently, TRY has no staff or funding but is exploring alternative approaches and potential funding sources. Board members have been asked to develop brief descriptions of any granting agencies they know of that they think might be interested in supporting TRY's efforts to establish residential services in Harder County. The following three descriptions have been provided.

First Foundation for Mental Health. The First Foundation for Mental Health was established in 1940 to promote mental health through education, research, and community service projects. It operates by means of grants to community-based agencies, colleges, and universities. Its net worth is $6.5 million, and last year it funded grants totaling $300,000. It requires grantees to supply funds for indirect costs at the rate of 10%. In recent years, the First Foundation has shown a trend toward funding more research projects and fewer direct

service programs. It grants funding once each year, in September; proposals must be submitted by April 1 of each year. Review and comment are not required from any local or regional organizations.

Beacon Agency. Beacon, a federal agency, was established in 1936 to advance human welfare through activities such as identifying important problems and supplying funds on a limited scale for efforts directed at their solution. It seldom makes grants outside the following fields of present emphasis: education, public affairs, social welfare (including problems of handicapped individuals), and economic development and administration. Eligible grantees include public agencies and private, nonprofit organizations. Beacon's annual budget exceeds $3 billion; last year, it funded grants totaling more than $100 million. Grantees are required to supply funds for indirect costs at the rate of 12%. Before submission to Beacon, all proposals must be reviewed by appropriate local and regional clearinghouses, a process which typically takes about six weeks. Beacon awards grants twice a year, on April 1 and October 1; in each case, proposals must be submitted to Beacon three months in advance.

Rehabilitation Agency. Rehabilitation, a federal agency, was established in 1963 to coordinate planning and service delivery for handicapped individuals at the state level. It provides a limited number of grants to public agencies and private, nonprofit organizations for research into the problems of handicapped individuals and for their treatment and education. Last year it funded grants totaling $1.5 million. Present concentration of the grant program is in support of projects dealing with individuals who have severe or multiple handicaps. Grants are not made for construction of facilities. All proposals submitted to Rehabilitation must be reviewed by appropriate local and regional clearinghouses; this process usually takes about four weeks. Rehabilitation awards grants annually on July 1; proposals must be submitted by March 10 of each year. In the initial year of funding, all grantees are required to supply 15% matching funds; that is, the grantee must provide $15 for every $85 awarded by Rehabilitation. The availability of funds and the level of indirect costs required in subsequent years depend on the nature and effectiveness of the project.

Practical Applications for the Management Team

The resource development process presented in this session is a two-step sequence. Phase 1 involves establishing a need and exploring alternative ways of addressing it. Phase 2 consists of implementing the appropriate procedure for addressing that need, which, in many cases, means developing a grant proposal.

In the hypothetical data presented on pages 8.11-8.13, you learned about the organization TRY. In the following practical applications you will have an opportunity to use your knowledge of resource development based on the TRY data. ***For purposes of this exercise, assume that you, as a team, are board members of TRY.*** You will be asked to accomplish a great deal during this group meeting; observing the suggested time lines will help you avoid becoming bogged down.

Phase 1

Establishing a Need and Exploring Alternatives

The hypothetical data provide background information about TRY, its purpose, and some of its current concerns.

1. *Establishing a need.* ***What service need have you, board members of TRY, identified that is currently unmet in Harder County? Take a couple of minutes to discuss the need. State it clearly and record it below.***

   _____

   _____

   _____

   You now have identified what you perceive to be a need in Harder County. The next step is to conduct a needs assessment to document that need. Planning a needs assessment involves identifying sources both within and outside of your agency that you will consult to document the need. In addition, it's important to specify for each source *who* will make the contact, by *what date*, and exactly *what information* will be gathered.

In this exercise, however, ***you do not have time to fully plan or conduct an actual needs assessment. Instead, simply begin your planning by listing below the sources (persons and materials) you would consult in doing an assessment of the need you stated above.***

_____

_____

_____

_____

_____

2. *Exploring alternative approaches.* Now that you have established the need, there are many alternative approaches to consider for creating the service; some are internal (such as reallocation of resources or purchase of service) and others are external (such as a contract or grant). In the human service field today, there are many occasions when grant funding, with its limited funding periods and its requirements for matching funds, is not the most desirable resource. Certainly, you should not automatically apply for a grant without first considering other funding options.

For the purposes of this exercise, ***assume that you have chosen to seek grant funding. On the basis of the hypothetical data, defend your choice*** (i.e., discuss why reallocation of resources, purchase of service, or contract funding are not the most promising alternatives in this case.) ***Use the space below for notes.***

_____

_____

_____

3. *Selecting a funding source.* Now that you have decided to seek grant funding, you must ***determine to which funding source you will submit your proposal.*** The hypothetical data include brief descriptions of three potential granting agencies. Keeping in mind these descriptions, as well as other information presented in the data, discuss which of these granting agencies is most appropriate and why. You might find it helpful to ***use a strengths/needs approach to weigh the advantages and disadvantages of the three agencies.*** Extra note paper is available at the back of your notebook should you need it. ***Record your decision below.***

_____

_____

_____

Note: Reading the following critique before the group meeting could bias your participation. Skip the critique of phase 1 and begin reading again on page 8.19.

Critiquing Phase 1

Although your discussions might have included useful information in addition to what is summarized below, ***answering the following questions will help you determine whether your work reflects the basic elements of Phase 1 resource development*** suggested in this session.

1. *Establishing a need.* In developing your list of sources to contact in assessing the need, ***did you consider the following people and materials?***

	Yes	No
Other board members of TRY		
Other professionals		
Potential recipients of services		
Relevant literature (e.g., journal articles, technical reports, project progress reports)		
Relevant legislation		

   If TRY had a chief administrator, other staff, or agency records of any past efforts in the area, it would have been a good idea to consult them also.

2. *Exploring alternative approaches.* Electing to seek ***grant funding is a sound choice for TRY since the data presented the following disadvantages of the other alternative approaches:***

   Reallocation of resources is not an option since TRY is a new agency with no personnel or dollars at this time.

   A purchase of service arrangement is not feasible since no other agencies in Harder County are able to provide the service. Furthermore, TRY has no funds that could be used to purchase services.

   Contract funding is not an option since no RFPs are currently being issued for residential services for severely handicapped individuals.

   Grant funding is a promising option since at least three potential granting agencies have goals compatible with those of TRY.

3. *Selecting a funding source.* ***In selecting one of the three potential granting agencies, did you consider the following items?***

	Yes	No
Four-year grants cycle theory		
Grantor's goals and its compatibility with grantee goals		
Traditional funding patterns of grantor		
Grantor's current climate for funding		
Submission deadlines		
Lead time required for local and regional review and comment systems		
Indirect cost required of grantee and TRY's ability to provide it		
Eligibility of grantee to receive funding under grantor's rules		

If you answered "yes" to all the items in this critique, your work in Phase 1 reflects a consideration of the principles presented in this session. As is often the case, there is no absolute, right choice among the three hypothetical granting agencies. However, we would have selected Beacon. If Beacon did not fund the proposal in September, then we likely would have submitted it to Rehabilitation for July funding. The lists below which reflect relevant principles presented in this session, helped guide our decision.

If you answered "no" to any of the items or reached a different conclusion, take a few minutes to compare your rationale with the one presented here.

Advantages and Disadvantages of Three Potential Funding Agencies

Advantages	Disadvantages
First Foundation 1. Compatible goals 2. Traditional funding patterns 3. Review and comment not required 4. Eligibility of TRY as applicant	1. Four-year grants cycle theory 2. Current climate for funding (trend toward research) 3. Submission deadlines (two weeks hence) 4. Indirect costs (10%)
Beacon Agency 1. Four-year grants cycle theory 2. Compatible goals 3. Traditional funding patterns 4. Current climate for funding 5. Submission deadlines (three-and-a-half months hence) 6. Adequate lead time for review and comment 7. Eligibility of TRY as applicant	1. Indirect costs (12%)
Rehabilitation Agency 1. Four-year grants cycle theory 2. Compatible goals 3. Traditional funding patterns 4. Current climate for funding 5. More than adequate lead time for review and comment 6. Eligibility of TRY as applicant	1. Submission deadlines (almost a full year hence) 2. Matching funds (15%)

Completing the Grant Application

Based on the hypothetical TRY data and your need statement from Phase 1, develop a brief grant proposal. Although you don't have time to be comprehensive, it's important that you ***give some attention to each of the six sections of the proposal in sequence,*** so try to ***limit your work time to about five minutes per section,*** or a total of 30 minutes. The purpose of this exercise is not to produce a finished narrative report but rather to take you through the Phase 2 process on a discussion level and have you record brief notes of the discussion highlights. This process is analogous to a brainstorming session a group might hold as a beginning step in developing an actual grant proposal. Most likely, a single person would then be assigned the task of capturing the group's ideas in narrative form, and finally the group would review the narrative and agree on revisions.

Throughout this exercise ***you will be recording information on the proposal format on pages 8.21-8.23. Remove these pages from your notebook*** at this time so that you can conveniently write on them. Where the hypothetical data end, use your imagination and creativity to supply additional information and ideas.

1. *Statement of the need.* ***Begin with a clear identification of the need to be addressed.*** Why is this an important need? What is being done now? By whom? For whom? What more needs to be done? Why? What does the literature say about the need? What has succeeded in the past and what is possible for the future? What, if anything, is the applicant agency currently doing relative to this need? What is the overall purpose or goal of the proposed project? After discussing these and other related questions for a few minutes, ***summarize the discussion highlights under "Statement of the need" on the proposal format.***

2. *Client group.* ***Describe the client group to be served by the proposed project.*** How were they involved in identifying needs and planning the project? How many people will benefit from the proposed project? How does this compare to other programs? ***Record the information on the proposal format.***

3. *Objectives.* ***List the project objectives, making sure they relate to the need statement and needs assessment data presented in Sections 1 and 2.*** Use straightforward, understandable language to describe exactly what the project will achieve. Follow the session 4 guidelines for writing objectives: Make them behavioral, outcome-oriented, time-linked steps toward reaching the project goal. (Refer to the examples in Table 3 on page 4.6 if you need further guidance.) In the interest of time, ***limit your list to two objectives, and record them on the proposal format.***

4. *Strategies.* Describe the strategies, procedures, or activities to be used to accomplish each objective. Present a step-by-step work plan in chronological order with a timetable. Follow the guidelines for writing strategies that you learned in Session 4: Tell *what* will be done by *whom* as well as *when, where,* and *how* it will be done. (Refer to the examples in Table 4 on page 4.8 if you need further guidance.) Describe materials to be used as well as the proposed frequency and duration of the activities. Explain how other concerned agencies and organizations will be involved in the proposed project. (In an actual grant application, include letters of support and commitment from those organizations in an appendix.) Emphasize any innovative features.

For purposes of this exercise, select one objective and develop two strategies for accomplishing it. List your strategies on the proposal format, transfer a brief description of each strategy to the timetable, and then complete the timetable.

5. *Evaluation and dissemination.* Keeping in mind the principles you learned in Session 7, ***establish procedures for evaluating progress toward the objective.*** (Turn back to your work on page 7.21 if you need an example of what an evaluation should include). Also ***outline a method of disseminating your results.*** Be explicit. Remember, these two aspects of grants are often inadequate but are becoming increasingly important considerations in federal grant awards. ***Record your evaluation and dissemination procedures on the proposal format.***

6. *Budget.* Finally, ***outline a budget for your proposed project.*** This grant proposal requires a traditional line item budget which includes, but is not necessarily limited to, the categories listed on the proposal format.

   The following cost estimates may be helpful. In addition to core project staff (director, bookkeeper, and secretary), it has been estimated that the following personnel are needed to operate a residential facility for eight clients: a pair of live-in houseparents (estimated salary $14,000) and a half-time program assistant (estimated salary $5,000) to assist with evening activities. An annual travel budget of about $750 would be adequate for the core staff, with additional travel monies of about $500 for each set of houseparents. Office space can be rented for $150 per month; office utilities, postage, telephone, and maintenance would cost about $75 per month; office supplies would cost about $60 per month. Five-bedroom residences can be rented for about $500 a month or purchased for about $55,000. Renovating the kitchen and restrooms, widening doors, installing access ramps, providing smoke detectors, and providing other general maintenance items for a five-bedroom house (beds, chests of drawers, refrigerator, stove, kitchen table and chairs, sofa, easy chairs, clothes washer and dryer) would cost about $5,000. Food and household supplies are estimated at $75 per client per month, and $250 should cover annual travel for one client.

   Once you have calculated your total budget, compute an estimated cost per client figure by dividing the total budget by the number of clients. If possible, compare your cost per client with that of other programs and add this information to Section 2 of your grant proposal.

After recording your proposed budget on the proposal format, return the completed grant proposal to your notebook, and begin the critique of Phase 2.

Grant Proposal

1. Statement of the need

2. Client group

3. Objectives

   a.

   b.

4. Strategies

   a.

4. **Strategies (continued)**

b. _____

_____

_____

_____

_____

Project timetable for first year

Brief statement of strategy/activity	What month(s) strategy will be implemented (Check appropriate boxes.)											
	1	2	3	4	5	6	7	8	9	10	11	12
a.												
b.												

5. **Evaluation**

_____

_____

_____

_____

_____

_____

_____

Dissemination

_____

_____

_____

_____

_____

_____

PPE

6. **Budget**

Personnel	$ _____
Staff travel	_____
Office expenses	
Rental	_____
Utilities, postage, telephone, maintenance	_____
Supplies	_____
Housing facility(ies)	
Rental or purchase	_____
Renovations and repairs	_____
Equipment	_____
Utilities and telephone	_____
Client maintenance	
Food and household items	_____
Transportation	_____
Consultant services	_____
Other	_____
Total	$ _____

Total budget / Number of clients = Cost per client

$ _____ / _____ = $ _____

Critiquing Phase 2

Congratulations! You have just developed a grant proposal faster than the speed of sound. Due to shortage of time, your proposal is necessarily incomplete, and writing an actual proposal would of course be far more time-consuming. However, ***this experience on a limited scope has given you an opportunity to practice many of the Phase 2 principles presented in this session.*** Furthermore, developing a grant proposal is similar in many ways to developing a program plan. They contain common elements (goals, objectives, strategies, evaluations, a budget), and the process of developing this abbreviated grant proposal has provided an opportunity to tie together principles presented in other sessions of this manual.

Before adjourning your group meeting, ***take a few minutes to critique your Phase 2 experience by answering the questions below.*** They should generate useful discussion and would be helpful to review anytime you are preparing a grant proposal.

	Yes	No
Does the proposal contain a simple, straightforward plan of action to accomplish worthy objectives?		
Is it brief and concise?		
Is it understandable by informed laypersons as well as technical specialists?		
Did you follow, without deviation, the specific application instructions?		
Did you enlist the help of your colleagues and, if appropriate, federal regional consultants?		
Does the proposal avoid using personal pronouns and present ideas in terms of community service?		

Although they are not applicable to this practice grant proposal, the next three questions would be important considerations in preparing an actual grant proposal.

	Yes	No
Does the grant proposal include necessary supporting documents in an appendix?		
Is the presentation tailored to a particular grantor, and does it reflect a familiarity with that funding source, its goals, and interests?		
Does it meet submission deadlines?		

If you answered "yes" to the above questions, your proposal reflects the principles for sound grantsmanship presented in this session. *If you answered "no" to any of the questions,* take a few minutes to *discuss whether considering those items would strengthen your work with future grant proposals.*

Things to Do Before the Next Group Meeting

1. *Turn back to page 1.14 to check the date, time, location, and coordinator for the next group meeting.*
2. *Read the next chapter, "Synthesizing and Using Your Training."*
3. *As part of your individual preparation you will be asked to pinpoint areas of time waste and to develop strategies for overcoming this barrier to effectiveness. Be sure that you have completed the time logs on pages 5.14-5.16 before attempting this exercise.*
4. *Complete the individual preparation section.*
5. *Review the practical applications.*
6. *If you are the Session 9 coordinator, locate all information from previous exercises that is needed to complete the session you are coordinating. Copy the information into the practical applications section of your session when necessary, and be prepared to alert the group to any that is missing or incorrect. Also be prepared to guide the group smoothly through the "imaging" procedure which will be used during the group meeting, and arrange to have a blackboard or easel pad available.*

Session 9

Synthesizing and Using Your Training

The Management Team and Each Member's Role 9.1
Future Organization and Functions of the Management Team 9.2
Agency Structure and Its Relationship to the Management Team 9.3
The Relationship of Individual Project Plans to Agency Plans 9.3
Planning as a Two-Way Street 9.4
Conclusion 9.4
Individual Preparation 9.5
Practical Applications for the Management Team 9.9
Things to Do Before the Group Meeting for Session 10 9.13

As a member of a management team, you have proceeded through a considerable amount of information on program planning and evaluation. You will now have an opportunity to think about issues related to the utilization of this information and to the training experience.

In this session you will:

1. Discuss the issues raised in the chapter;
2. Develop a program goal;
3. Decide on the group's next step.

Synthesizing and Using Your Training

Jerry D. Parham
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The previous sessions in this training manual were designed to supply information and to teach you new skills related to management and program planning and evaluation (PP&E). This session provides a change of pace: Rather than being information-oriented, it challenges you to think about your role as a manager and planner while examining the relationship of your management team to the agency and to the community. We hope that you and the other members of your management team have enjoyed and benefited from the training experience. However, unless you apply the information and perform your job in a different, more effective manner in the future, the training will not have been as useful as it could be. Within that context, several issues related to the future application and utilization of your training experience will be raised and briefly explored. Certain points of view are advocated, but if and how you use the training is up to you.

The Management Team and Each Member's Role

We designed this training to be taken by a management team because we feel that a team process is the best approach for making productive administrative decisions. In working together throughout this training, you not only should have learned specific program planning and evaluation skills but also should have gained a new appreciation for the intricacies of group problem solving. As mentioned in Session 1, you should belong to only one group during the course of this training; when training is complete, however, you may find that you are a legitimate member of management teams on several levels within your organization. But whether you are meeting with a team that consists of other middle management personnel like yourself, or whether you are participating on a team with selected staff from the section of the agency you manage, the advantages of a team approach and the ways in which you relate to other team members should remain constant.

Utilizing a management team is the most efficient and the most effective means of developing and implementing program plans. Consistent with the old adage that "two heads are better than one," the team process usually results in a consideration of all facets of an issue and all relevant information. Moreover, when staff suggestions are solicited in advance and seriously taken into consideration, support of the team's decisions and commitment to carrying them out increase tremendously.

The individual's role and impact within a group setting sometimes may seem minimal, particularly when a large number of persons are making an input; however, we have advo-

cated that no more than seven people constitute a team. Under these conditions, each team member not only contributes his or her own ideas but also seeks and uses input from many other sources, including clients, significant others, direct service staff, and other levels of management within the agency. Thus, as an individual member of a management team after training, you have a two-fold responsibility: to solicit information from those who work with you and to communicate that information to your management team.

Depending on the formal and informal structure of the agency and your role and responsibilities within it, your activities—both during and after training—may differ from those of other management team members. However, each person's role should be valued by everyone on the team, for each has a contribution to make. This training experience was structured in large part, in fact, to help each of you explore your role and develop a better understanding of what your contribution might be. If the training has been successful, each of you should feel accepted and comfortable in the management team setting, and you should have accomplished a number of the personal training goals you set in Session 1.

Future Organization and Functions of the Management Team

In Session 1 some guidelines for organizing your training team were presented. Many of these same guidelines apply to organizing an ongoing management team. In some cases, your training team may continue to function as a working management group. In other cases, however, reorganizing may be appropriate. The ongoing management team should consist of administrators who frequently work together closely on projects. As mentioned in Session 1, in small agencies the team might include an administrator—sometimes even the executive director—and other senior staff who typically are involved in decision making. But in large agencies you may need to form several teams in order to accomplish planning on different levels or planning within various organizational divisions.

In this training experience, you have been working on program planning within a limited scope. You selected three goals, developed objectives for one of those goals, chose strategies based on cost and other factors, and formulated evaluation procedures. By limiting the scope of your work you were able to complete the entire PP&E process. In ongoing planning, however, your program plan would be much more comprehensive than the one you developed here. Even so, you should attempt to limit the scope of your plan. It is important to establish priorities and to limit the number of items with which you are working in order to obtain closure and see progress.

It is also important to keep management team meetings on track and concise. When meetings are relevant to the individuals involved, a great deal can be accomplished in reasonably short periods of time. Session 5 included a discussion of the concept and importance of time management. Using time wisely is crucial for you as an individual as well as for your team. The instructions for your group meetings during this training have generally included time frames, but in team meetings held subsequent to this training you will of course be on your own to establish and abide by efficient timelines.

The purpose of future team meetings obviously will be different from the purpose of the training sessions. During this training you practiced developing various components of program plans; future team meetings may deal instead with reviewing and modifying plans, and/or assigning responsibilities for implementation. Another variation from the training situation is that various team members likely will be involved in additional management teams and in different plans in the future. For example, if your team is composed of several department directors, each of you may be involved in a management team and

several program plans within your own department while also serving as a member of a management team composed of mid-level administrators. During future team meetings you may find it useful to update one another on your individual department plans and integrate them into an overall agency plan.

Agency Structure and Its Relationship to the Management Team

Regardless of the degree of influence you have on the overall agency structure and on the relationship of your management team to the agency as a whole, as a member of the management team you still have the same two basic responsibilities: You must solicit information from those who work with you and communicate that information to your management team. Even if you are the executive director, you still have these two basic responsibilities.

During this training you functioned as a member of a participatory management team and examined your agency's strengths and needs before establishing goals, objectives, strategies, and evaluation procedures. You should now give deliberate, explicit thought to the structure of your agency and whether or not it is amenable to the participatory management approach. Perhaps this training has underscored the appropriateness of your current agency structure. It is more likely, however, that you and other team members could now make suggestions about agency reorganization that would insure that the management team fits into the overall agency structure. (In the team meeting following this chapter you will have an opportunity to consider this issue.) If and when the team presents its suggestions to agency decision makers, hopefully the ideas will be perceived as positive and will be given a receptive, fair hearing. Practicing the principles presented in Session 7 for overcoming resistance to change will help promote positive consideration.

We trust that you, individually and as a management team, will not misinterpret our intentions in having you consider the role of your team as it relates to the agency structure. We are not calling for a drastic change in overall organizational structure. In most situations, change comes about slowly as a result of evolution, not revolution. As a management person yourself, you can appreciate the difficulties involved in reorganization and the importance of presenting proposals that are not only sound but also realistic.

The Relationship of Individual Project Plans to Agency Plans

The PP&E system's relationship to the overall agency plan is a complementary one in which each plan affects the other. The agency plan gives guidance and direction to project plans, while project plans help build a comprehensive agency plan. Typically, the agency plan will be more global, less specific, and longer range. Project plans help fill gaps in the agency plan, and evaluation of project plans feeds information into the system and assists in agency decision making. There should be a continuous flow of information and resulting modifications between the two levels of planning.

The size of the agency and the scope of its services affect this interaction. Smaller agencies with limited operations might have reasonably tight agency plans consisting of only one or two project plans. Larger agencies might have a much more global agency plan and numerous project plans. In larger agencies a funneling type of effect might occur; several project plans might be integrated into a department plan, and several department plans into an agency plan. Program evaluation on all levels contributes to the ongoing information flow and to any subsequent program plan modification. A sound organizational structure, overlapping management team membership, and open, honest communication will help

assure a smooth flow of information and useful interaction between project and agency planning.

Planning as a Two-Way Street

In this session you have already considered how your role and responsibility as an individual management team member affects and is affected by the team. Likewise, the team affects the agency and the agency has a larger responsibility to the community. Agencies come into existence in order to meet client and community needs; immortality does not accompany this birthright. Only to the extent that the agency continues to meet client and community needs does the agency deserve to continue to exist. The agency's primary mission is not its own perpetuation.

You and your agency have a responsibility to the community, both in soliciting its input for your program plan and in participating in communitywide planning. There are many resources in every community that can be tapped and used by an agency in developing and implementing a program plan; state, regional, and national resources may sometimes be helpful as well. But in order to be most effective, agencies also should assist the community in developing a plan for integrated service delivery and may even contribute to planning on a state, regional, or national level. Thus, planning is indeed a two-way street.

During the group meeting for this session, you will have an opportunity to determine what local, state, regional, and national resources are available to aid you in program planning within your agency. In Session 10 you will examine the second side of the question. That is, what role should your agency play in community, state, regional, and national planning efforts?

Conclusion

In this chapter we have touched briefly on some of the various levels and facets of planning and have mentioned some of the interrelationships among them. The importance of your management team and its commitment to continuous, effective program planning cannot be overemphasized. Your team, like the planning process, should be ongoing, dynamic, and growing. It has been said that a good manager spends 90% of his or her time planning and 10% doing. While this might be somewhat exaggerated, there is little doubt that without sound, thoughtful planning, all your hard work would accomplish very little. Rather than being reactive and merely putting out brushfires, PP&E enables you to be proactive and to cope with long-range planning as well as current crises.

Individual Preparation

Contemplating Your Role as a Manager

At several points during this training, you were asked to examine yourself and various facets of your managerial style. This exercise will enable you to bring together several of those bits and pieces into a meaningful personal plan for the future.

1. *Examining team membership.* Begin by thinking about how you function within the training team. What is your role? Do you feel comfortable in this role and in the team setting? Do you help others feel comfortable? Record your thoughts below.

_____

_____

_____

_____

2. *Analyzing your time usage.* Learning to use your time wisely is an important part of functioning as an effective manager, both within the team setting and in your individual work. In Session 5 you were asked to keep a daily time usage log for three days. Examine your time logs now. Pinpoint areas of time waste and determine strategies for overcoming these barriers to effective management. Record your conclusions below.

Areas of Time Waste	Strategies for Eliminating Waste
_____	_____
_____	_____
_____	_____
_____	_____

3. *Reviewing personal strengths/needs and goals.* In the Individual Preparation section of Session 4 you developed a personal strengths/needs list and goals (pp. 4.13-4.14). You also developed training goals for yourself on page 1.9. Which, if any, of your goals have you achieved? Which goals would you still like to achieve? What additional goals would you now like to set? Record your thoughts below.

4. *Developing a personal plan of action.* Integrate the information from the previous steps into a personal plan of action for the future. As with agency program planning, you will need to establish priorities rather than trying to deal with everything at once. In developing your plan, follow the goals/objectives/strategies/evaluation model for PP&E presented in this manual. Use the space below. Additional note paper is available at the back of the manual if you need it.

Determining the Future Role of the Management Team

As an individual team member, think about the future of your training team. Should it continue to function? If so, is your current organization best or should some changes in membership occur? What should the team's role and responsibilities be? Do additional or different teams need to be organized? Will you need to belong to more than one management team? In preparation for the next group meeting, during which consensus on these issues will be sought, record your ideas below.

Raising Pertinent Issues

The first part of this group meeting involves a discussion of some of the issues raised in this session.

1. *Sharing personal plans of action.* In the individual preparation for this session, each of you was asked to review your individual participation in the team and to develop a personal plan of action for the future. ***If any team members would like to express their thoughts on team participation or share their personal plans of action, they should do so now.*** Do not spend more than five minutes on this discussion. ***If no one wishes to share personal thoughts at this time, proceed to the next step.***

2. *Considering the team's organization and future role.* In the individual preparation for this session ***you also were asked to think about the future of your training team and to summarize your ideas on page 9.7. Share those ideas now.*** Are you as a team committed to continue working on program planning and evaluation? If so, is your current team organization the most desirable, or are new and different team members and/or organizational structure needed? What can you as a team do to organize yourselves more effectively and to develop a commitment for future work? ***Record your ideas below.***

3. *Examining agency structure.* What overall agency organization and structure would best facilitate the effectiveness of your ongoing management team? Do any team members need to be represented on other teams? How can you as a team help promote needed changes? ***Discuss your team's relationship to the total agency*** and ***list strategies for facilitating needed changes.***

4. *Relating to other agency planning activities.* ***Do you as a team know what other planning activities are currently in progress in your agency? Do you understand how your activities and program plans relate to these other agency planning activities? How could you obtain more information on this subject? Record the group consensus below.***

5. *Using outside resources in planning.* As mentioned in this session, there are often a variety of outside resources that can be tapped to help you develop program plans within your agency. ***Identify resources at the local, state, regional, and national levels that might prove useful, and discuss ways in which you might utilize them to aid in developing and implementing your program plans.***

Developing Goals

In this exercise you will ***use the "imaging" process*** (Schindler-Rainman, 1977) ***described below to come up with goals.*** This approach will stimulate your creativity and encourage you to think ahead in outcome-oriented terms. ***Then you will decide which two goals are important enough for the team to pursue in the future.***

1. *Imaging.* ***Take an imaginary leap one year ahead and look at what is happening.*** Thinking and talking in the present tense, ***brainstorm as a group.*** As you look at your area of work, ***list all the images you see that please you.***

   For example, imagine it is now one year hence and as you look at your agency, you are pleased with the improved communication you see. Specifically, what do you see? Below are some possible examples (Schindler-Rainman, 1976, p. 3):

   "I see easy access by employees to the executive director."

   "I see productive, enjoyable, short staff meetings."

   "I see clear understanding and use of program goals by most employees."

   "I see more involvement in decision making."

   Follow the rules for brainstorming that were presented in Session 5: List all ideas—anything goes; do not discuss; do not judge; repetition is okay. The co-ordinator or another group member should ***record the images on the board or a large pad of paper.***

2. *Selecting goals.* ***After all the possible images have been listed, as a group choose the two you feel are most important to achieve.*** If you have difficulty reaching a group consensus, you might find it helpful to use a nominal procedure as you did in Session 4; but since this is only a small part of this exercise, try to finish it as quickly as possible. ***When you have chosen two images, translate them into goals. Record your work below.***

_____

_____

_____

_____

_____

Determining the Group's Next Step

It is essential at this time that you make a decision and commitment regarding the next step your team will take. Take a moment now to ***read the cover sheet for Session 10,*** which explains why the timing of that session is optional. ***As a group, decide whether you will complete Session 10 right away*** (as you originally indicated on your training schedule on page 1.14), ***or whether you will wait*** until after you have had more time to develop and implement your PP&E system.

1. *Proceeding with Session 10.* ***If you decide to finish Session 10 right away, proceed to the checklist on the next page for instructions*** regarding what you need to do to prepare for the group meeting. ***It will not be necessary for you to read the paragraph below or to answer the questions which follow.***

2. *Delaying Session 10.* ***If you choose to delay Session 10,*** you need to ***make specific plans now regarding the team's next step. Reach a group consensus on the following questions.***

   Will the team meet together again? _____

   Do changes in organization need to occur before the next meeting? If so, who will be responsible for accomplishing them?

   _____

   What will be the purpose of the next meeting (e.g., to develop objectives, strategies, and evaluation procedures for the goals you just formulated; to develop further and/or to discuss the implementation of the program plan you developed throughout this training; to discuss how to implement your strategies for facilitating change or your strategies for obtaining more information about agency planning)?

   _____

   _____

   _____

When will the next meeting be held (date and time)? _____

Where will it be held? _____

What will be the agenda? _____

_____

Who will be the coordinator? _____

How should each team member prepare for the meeting? _____

_____

At what time will you be ready to complete Session 10 (date, time, location)? ***Who will be the coordinator?*** Remember to review the checklist below in preparation for that session.

_____

_____

Reference

Schindler-Rainman, E. *Participative planning: Images, goals, action.* Paper presented at a Conference on Community Volunteerism, Lubbock, TX, November 1976.

Things to Do Before the Group Meeting for Session 10

1. ***Check this page for the date, time, location, and coordinator for Session 10. If this page has not been completed, check page 1.14.***
2. ***Read the next chapter, "A Model for Community Planning."***
3. ***Review the practical applications.***

Session 10

A Model for Community Planning

Components of a Community Planning Effort 10.1

Initial Steps In a Community Planning Process 10.3

Program Development 10.5

Principles of Community Planning 10.6

Discussion 10.8

Conclusion 10.9

References 10.10

Practical Applications for the Management Team 10.11

Community planning is a two-way street. The agency has a role and responsibility in communitywide planning, and the community is a resource for, and should play a role in, an agency's planning. This session approaches community planning from the former point of view, pointing out how, once you have some grasp on your own programs and planning, you can begin participating in communitywide human service planning. Many of the principles can be readily applied to the latter perspective as well (i.e., involving community representatives and using community resources in your own agency's planning).

As mentioned earlier in this manual, the time at which this session is to be conducted is optional. In some cases, you may feel that you could benefit more from it at a later date after you have had an opportunity to develop and begin implementing your agency's program planning system. However, it is an important session, and your introduction to program planning and evaluation will be incomplete without it. So, whether you choose to do it now or later, be sure to include it at some point in your training.

In this session you will:

1. Discuss how the principles presented in the chapter apply to your own community;
2. Develop a plan of action for community planning in your area;
3. Consider how your agency might contribute to planning on a state, regional, and national level;
4. Decide on the group's next step.

A Model for Community Planning

Dan W. Davis
James J. Gallagher
Glenn Wilson

A trend has developed in the last decade for planners, consultants, and policy makers from outside of a community to design program regulations that directly affect community services. Unfortunately, local services often do not match the "outsider's" program designs; the most striking example of this is the replication of model demonstration projects in communities other than the ones for which they were originally designed. Much effort has gone into community organization and liaison strategies between outside planners and local services, with dubious results (Dahl, 1961; Hunter, 1953; Walton, 1971).

Simultaneously, another trend has emerged. Local service agencies are recognizing the necessity for agency coordination in order to adequately provide services to meet the complex needs of persons with handicaps. This recent trend has put responsibility where it can best be accomplished—locally. Agency personnel, then, must take the initiative in coordinating services with their colleagues in other agencies, public and private. Rather than giving program initiative to outside planners, local service providers must determine how to proceed, press for what is needed, and define how outside resources can complement local efforts.

Components of a Community Planning Effort

This chapter focuses on a community planning process in which representatives from one agency contact other groups within the community and facilitate the formulation of a neutral group which is then responsible for continuing the process (see Figure 1). There are two basic reasons why each of the segments shown in Figure 1 should play a part in the planning and development of a community service program. First, comprehensive programs for handicapped citizens, like human service programs for any citizens, require many service and decision-making elements which no one or two components can, or should, provide. Second, in any given community there are certain individuals or groups that make policy decisions and have the power to ascribe success or failure to all community efforts. Their support, or lack of support, often will determine the program's future.

In the case of a community effort to provide human services, the existing *service providers* occupy the position of implementors. Communities throughout the country are inundated with service agencies, public and private, which suffer because of lack of coordination of services and poorly defined lines of responsibility. To design a meaningful, comprehen-

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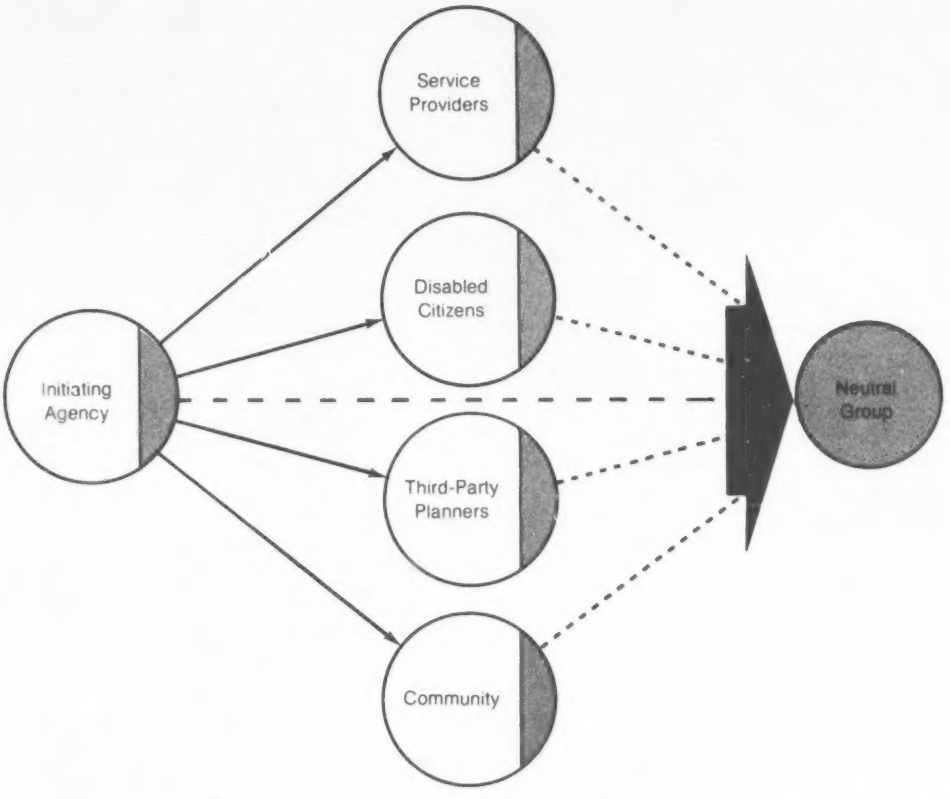

Figure 1. Community planning components.

sive service program for disabled citizens, the implementors must share a sense of involvement and program ownership. Service agencies which provide a variety of services and skills cannot afford to be competitors.

Disabled citizens, who are often viewed as incompetent or unable to make decisons for themselves, are in this case considered an essential component of the planning group, as noted in Figure 1. This is a value judgment based upon two premises: First, disabled citizens should have access to services that meet their particular needs, and second, a choice of services should be available since that choice provides checks and balances on quality and aliows greater dignity to the individual.

In community planning, *third-party planners* often are useful as a resource. They can, for example, propose alternatives for program design. But any outside planners must be used within the context of the overall program design of the local community. Otherwise, more energy may be spent in meeting their regulations than in having them assist the local program. Possible third-party planners include universities, state and federal agencies, peer agencies, and private consulting firms.

Finally the *community as a whole* is an adjunct part of the community effort. Information and support services should flow freely between the planning groups and the indigenous

population. A concerted effort to inform the various local agencies as to the intent of the new program initiative may allay fears and suspicions that ongoing programs will be preempted. The purpose, needs, and goals of the program must be public knowledge and must gain public support so that the program will not be thwarted at a later point in its development.

As Figure 1 illustrates, when one agency takes the initiative for programs, it is crucial that a representative group of pertinent others—including service providers, disabled citizens, the community as a whole, and perhaps third-party planners—become involved. These representatives form a *neutral group,* which defines roles, assumes ownership of the overall program, insures commitment to goals, and acts as a problem-solving group to handle the criticisms and pressures that inevitably arise as the planning process proceeds.

Initial Steps in a Community Planning Process

Forming an information base. The concern that many people feel about long-range planning lies not in the process itself, but in who is controlling the process (Gallagher, 1973). Therefore, self-determination is an essential prerequisite to the effectiveness of such planning. A program plan which fosters self-determination must begin with the formulation of an information base.

Representatives of the initiating agency should contact local, state, and national groups which might be concerned with the development of services for disabled citizens. Related to the goal of designing an integrated service delivery system for disabled citizens, one assumption is that there exist, in a given locale, key groups with strengths or resources which can contribute to the system and needs which can limit it. By interviewing community members, the representatives of the initiating agency can identify those groups and determine, in as nonthreatening a manner as possible, their strengths and needs. This, in turn, will aid in identifying the overall strengths and needs of the community as a whole.

After key individuals and groups in the community have been identified, representatives of the initiating agency must conduct interviews with them to determine what issues are of greatest concern. The ideas generated from these contacts are incorporated into the information base and become a focal point for discussion by the neutral group, which is formed after the initial interviews.

Establishing a neutral group. Simultaneously, representatives of the initiating agency should identify specific individuals in the community and ask them to form a neutral group which would function as the local planning team. (If a neutral group already exists within a community, the agency representatives' first step would be to contact its members.) It is essential that an indigenous group be formed which, because of its neutrality, can hold together the various community groups. If the initiating agency representatives are not the only unifying force in the community, ownership of program components will be strong enough to withstand individual agency priorities.

The criteria for the neutral group are that it be unbiased about possible goals or implementation strategies to be included in any planned service program, that the individuals in the group be viewed by the different constituencies as able to transmit information accurately, and that the group as a whole be respected enough to gain and retain the attention of all subgroups.

The neutral group can stimulate and facilitate the development of the program and follow up on its implementation as well. In addition, the neutral group can serve as a vehicle for communication among existing service agencies, decision makers, the public, and disabled

citizens during both the planning and implementation phases. By serving as a communication link, the neutral group becomes the holder of the information base, thus maintaining a powerful, independent integrity.

Clarifying issues and determining a theme. Once the neutral group is formed, its members should meet to examine the issues, or needs, identified in the interviews conducted earlier by representatives of the initiating agency. The neutral group then begins exploring the needs through informal discussions in which group members give their perceptions as representatives of the community.

For example, the problems identified through this process might include the lack of personnel trained to work with young developmentally disabled children in existing service centers, the large geographical dispersion of existing services, and the lack of coordination among services. While special services are needed, initial interviews might point up a need for the development of a broad base of services to serve the entire population rather than only the one sector with the most severe need. Generic services for all, with specialty resources as needed, might be proposed as the guiding theme of the program.

After discussion, the neutral group must agree on the issues, or needs, that relate to the proposed theme of the program. When these issues are clarified, it becomes evident which people, in what numbers, and from which constituencies are pertinent to program development. For example, the neutral group might identify parents, disabled citizens, service providers (e.g., teachers, physicians), administrators of service agencies, agency directors, and/or leaders of relevant organizations. Plans to conduct a more thorough needs assessment process with these constituent groups are then made.

The neutral group should recommend that each of these groups meet individually because each represents a different perspective on the issues. Combining groups indiscriminately at this point when differential information is to be gathered would artificially associate persons unaccustomed to working together, confuse the issues by aggregating a variety of perspectives, and emphasize points of discrepancy and dissension rather than points of agreement. Thus, the agencies and groups identified as pertinent to the primary theme should be contacted individually.

The neutral group members then meet with each of the identified interest groups separately and determine the specific priorities of each group. That knowledge, assimilated into the information base, provides the neutral group with another vehicle which they can use to interface the group with one another. Providing a forum for sharing information and discussing priorities also serves to reinforce the status and respect of the neutral group.

Interfacing the groups. As suggested earlier, once the neutral group has gathered information from each constituent group regarding priorities, that information serves as a vehicle for interfacing those groups. At this point, representatives from various interest groups meet together with the neutral group to discuss the central theme and to determine joint priorities. This facilitates not only communication but also understanding and appreciation for differing perspectives.

Based on the previous example, the following list of mutual needs might come from the joint meeting: early identification of health problems, improved nutrition, treatment of developmentally disabled children, increased transportation and accessibility, child care training for parents, and trained personnel to staff service delivery programs.

Under the guidance of the neutral group, the constituent groups which participated in the joint meeting form a coalition based on their common concerns and interests. The coalition assumes ownership of the program, setting the stage for cooperation among the different

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constituent groups in sharing their resources and in developing an integrated program, with each contributing information and skills within its own territory. Once the coalition of interest groups is formed, the neutral group withdraws from the leadership position but continues to act as a facilitator and source of information.

Program Development

Development of the new program should begin with a clear statement of the underlying philosophy. In the previous example, the philosophy might include the following components: an active delivery system for bringing services to the clients, direct services provided by indigenous personnel and backed up by professionals, systematic record keeping and follow up, leadership training to increase the cadre of professionals operating in the area, early identification and treatment, an adult education program for paraprofessionals, and a re-training program for professionals.

Drawing from the needs statements and from components of the philosophy, the coalition should develop both long- and short-term goals for the program. Then they should formulate specific objectives to reach those goals. As discussed in Session 4, objectives must be stated in behavioral, outcome-oriented, time-linked terms in order to make meaningful evaluation possible. The next step in program planning is developing strategies to achieve each objective. The strategies must specify the procedures to be used, the person(s) who will carry them out, and how, when, and where the actions will be accomplished.

Once the coalition has determined the goals and objectives of their community plan, they may look to the neutral group and/or third-party consultants for solutions (i.e., strategies). The philosophy of local ownership, however, does not allow the neutral group or consultants to provide *the* answers; to do so would shift the ownership to the neutral group or to outsiders. If experts provide a solution, then it is theirs, and ultimately the success or failure of the program would be attributed to them.

Instead, the neutral group or third-party consultants should act as a sounding board for the coalition's ideas and suggest alternative possibilities for service delivery. Thus, the coalition retains the right to choose which strategies it will implement. Although it is not exhaustive, the following list of general directions in strategy development might emerge in our example:

1. *Screening and referral.* There would be a concerted effort to find children who need help and then to link these children with appropriate treatment services that may already exist in the community (Frankenburg, 1973; Gallagher & Bradley, 1972).
2. *Home services.* A variety of home care services for retarded children and their parents could be instituted. The major emphasis and direction would be in bringing assistance into the home of the family. The help would be continuous and could cover a broad range of problem areas such as nutrition, physical therapy, and language development. Such programs also could include the option of referring more serious and chronic conditions to continuing service units outside the home (Heber & Garber, 1975; Levenstein, 1971).
3. *Child treatment settings.* This would involve establishing a setting to deal with chronic problem areas—such as developmental retardation or social and behavioral problems of children—on a continuous care basis. An example might be day-care or preschool programs in a child health and development center that includes services such as parent counseling and health care (Kirk, 1958; Weikart, 1967).

4. *Data and record systems.* A coordinated system of comprehensive records on all the children in the community is essential to the effectiveness of the program. These records would provide readily accessible information on clients and facilitate appropriate follow-up.

5. *Training and counseling.* This would require a variety of educational services for parents, service providers, and administrators. A parent training and counseling program could help families handle the emotional and physical development of the handicapped child at home. Training programs for personnel in each echelon of the service delivery system could be used to orient new workers, update treatment procedures and techniques, and facilitate more effective management practices.

Coalition members would review these and other suggested ideas before determining which strategies would satisfy the needs of the community. Because the group is now unified, selections would be made relatively easily. They would then complete each strategy outline they had chosen by specifying exactly what procedures would be used, who would carry them out, and how, when and where they would be accomplished.

Table 1 shows a total plan of strategies that might emerge to address the needs in the example under consideration. Because a single need may require action on several different levels, the strategies which apply to each need in Table 1 are marked with an "X." For example, the need for early identification can be met through a combination of screening and referral, home services, and data and record systems. Note that the Table 1 strategy headings are merely abbreviations for the full-length detailed strategies the coalition would develop.

As the coalition generates goals, objectives, and strategies, it also should create an evaluation system. A continous, proactive evaluation process can satisfy demands for program justification, monitor program effectiveness, and guide decision making. A comprehensive evaluation system generally is conducted in two stages. *Process evaluation* focuses on whether strategies are being carried out, while *product evaluation* determines to what extent strategies are accomplishing the program objectives (for a more detailed discussion, see Session 7).

Principles of Community Planning

The following principles apply to the community planning process described throughout this chapter. These principles are based on a consideration of both program and community organization for human services, and are intended to apply to rural as well as urban settings.

1. Lack of service coordination affects both small, rural towns and larger, urban areas.
2. Any effort toward the development of services begins with some individual or group, within or outside the community, that perceives the need for such services.
3. No one individual or group, within or outside the community, represents the perspective or orientation of the program as a whole.
4. A service program planning effort for a given community should be carried out by a team which includes representatives from the following key subgroups: the initiating agency, service providers, disabled citizens, the general public, and third-party facilitators.
5. Agencies which financially support planning efforts frequently put limitations on the constituency of the planning group and/or the activities of that group.

Table 1

Sample Total Plan for Service Delivery

Priority Needs	Strategies						
	Screening and referral	Home services	Child treatment settings	Data and record systems	Parent counseling	Adult education	Professional training
Early identification	X	X		X			
Nutrition		X	X		X	X	X
Needs of developmentally disabled		X	X		X		X
Transportation and accessibility		X	X				
Parent training		X			X	X	
Trained personnel	X	X				X	X

6. As an essential prerequisite for any program development effort, representatives of the initiating agency must formulate an information base which:

   Identifies key concerned individuals and groups in the community;

   Identifies existing strengths or resources;

   Identifies existing needs;

   Synthesizes mutual issues, or needs, which affect the individuals and groups identified.

7. If a third party is utilized, it should serve as a facilitator and information source; to fill this role it must have the freedom to negotiate with different subgroups in the community.
8. Representatives from local constituencies always should be present when third-party planners make reports to outside groups, and the timetable for reporting should be determined by the neutral group with the understanding that the final deadline will be honored.
9. When third-party planners are responsible for the organizational effort, it is essential to allay fears and suspicions about their purpose and motivation lest they be considered competitors.
10. Although third-party support of and/or active participation in a planning effort can provide expertise not otherwise available, ownership of the proposed program must be maintained in the community itself.
11. The neutral group should act as the prime contact for any third-party planners, own the information base, serve as a vehicle for communication among the constituent groups, and aid in the implementation of programs.
12. Rather than initially assembling all interested parties or groups in order to determine priorities for program development, the neutral group should advise each constituent group to meet separately. This broadens the information base to include the priorities of each group and prevents friction among the groups.
13. Using the priorities of each group, the neutral group can then identify common priorities.
14. By forming a coalition of the constituent groups on the basis of these priorities, there is little dissension or exposure to conflicting viewpoints.
15. Such coalitions perceive group ownership of the problem and can thus work as a group to plan solutions.
16. Members of the coalition—feeling less threatened—are more willing to pursue the task of implementation by contributing the resources available in their own particular group. Implementor roles thus become defined through the process itself.

Discussion

If the aforementioned principles and procedures are followed, potential recipients of services and the local professionals who would provide the services can successfully work together to determine program needs and to establish priorities. Typically, there is remarkable agreement between priorities identified by the various human service professionals and by service recipients in the community.

The process described in this chapter brings to the attention of responsible elected public officials the need for human services in the community while interfacing groups otherwise unaccustomed to working together. It is difficult to overstate the importance and productivity of engaging a broad cross section of the community, human service professionals, and elected officials in discussions about significant changes in attitude. These discussions can go on without confrontation, demands, counterdemands, and resulting ruptures in relationships.

After the needs and priorities are established by local people, the third-party planners may be helpful in introducing alternative programs of action, staffing patterns, and estimated budgets to meet the needs. However, decisions should be made by the coalition, and organizational control and ownership retained by local people. The program and budget are further refined by the local people based on their priorities and budgetary limitations, thus fulfilling the definition of a community program. The temptation to grab for state and federal funds, or to institute prepackaged programs, is ever present. As time passes, there is increasing pressure to set forth a program prematurely. Community representatives must participate actively in all meetings held with state or federal officials, and such pressures must be resisted.

Delays in funding may be expected to occur for any of several reasons. The fact that responsibility for the administration of proposed programs rests with several administrative agencies rather than with one may create complexities that are hard to overcome. Further, shielding the community from program opportunists in order to allow it time to determine its own needs and what course of action it will pursue may cause certain state and federal agency administrators to be less than enthusiastic about the total effort. Finally, a self-determined program does not have the predictive validity of prepackaged, tested programs.

There are, however, valuable constructive changes which should result from the process. In all probability, a system would be created to coordinate the current fragmented efforts of existing programs. And the process of organizational effort would demonstrate that all groups in the community can cooperatively and systematically determine needs and establish priorities.

Conclusion

The title of this chapter and much of its content might suggest to the reader that everyone's involvement in the development of services is recommended. This point deserves clarification. Representatives of the initiating agency should involve interested individuals and groups in the initial information interviews. The members of the neutral group and the planning coalition, however, are selected on the basis of how their roles in the community relate to the issues of concern which were brought to light in the interviews. Not everyone is involved in the actual planning effort.

This chapter has focused on the process of defining roles from an information base and then interfacing different roles, and different groups, in an appropriate sequence. Much effort is spent by representatives from the initiating agency and the neutral group in understanding the existing service network before any program content is developed or visible progress is made. From the information gathered in the initial interviews with community representatives, the neutral group generates a central program theme and identifies related needs and interest groups.

Representatives from each group have information to give that only they can provide. (For example, parents are the only experts available on the problems their particular families face, psychological interpretations aside.) But the task of information gathering

has an equally important by-product. Namely, constituencies are formed which cut across interest group boundaries and focus on the new program being developed. In the planning coalition, the different factions have a basis on which to develop a program jointly since each has a defined and contributing role. New checks and balances emerge because the groups become accountable to one another as they cooperatively defend the program and share their resources. Thus, the interfacing of groups through an information base has the effect of developing—without significant dissension, confrontation, or rhetoric—a program with all the necessary components and a unified constituency that previously did not exist.

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Now that you have read this chapter, turn back to the checklist on page 9.13 to see what else you need to do to prepare for the next group meeting.

Practical Applications for the Management Team

You have been introduced to the concept of community planning as a two-way street. Not only is the community a resource to be used by your agency, but also you are a part of your community and its program planning process.

In Session 9 you were asked to determine what resources at the local, state, regional, and national levels you might utilize in the development and implementation of program plans within your agency. During this session you will look at the opposite side of the coin—that is, what role your management team might play in developing service delivery systems on the community level and beyond.

Participating in Communitywide Planning

1. *Identifying related programs.* ***What other programs in your community are similar to yours?*** Think silently for a couple of minutes; then share your ideas as a group. ***List below the programs identified by the group.*** Take no more than five minutes.

_____

_____

_____

_____

Do you think this is an exhaustive list, or is it likely that other related programs exist of which you are not aware? If the latter is the case, briefly indicate below how you could find out about the other programs.

_____

_____

_____

2. *Promoting interaction among programs.* ***Would it be beneficial for you to meet with representatives of any of the programs listed on the previous page? If so, what focus would each meeting take*** (e.g., discussions of common philosophies and goals as well as methods and benefits of mutual communication, cooperation, and collaboration)? ***Discuss these questions and record the highlights below.***

3. *Considering a third-party planner.* The authors of this chapter presented some of the potential advantages and disadvantages of using planners or consultants from outside of the community. Should you decide to initiate joint planning activities among related programs in your community, ***would you choose to bring in another agency or individual as a third-party planner? Why or why not?*** Consider the particular characteristics of your own community and be as specific as possible. ***Briefly summarize the group's reasoning below.***

4. *Choosing an appropriate time.* Timing is an important factor in community planning efforts. An agency needs to have some grasp of its own programs and planning before it can effectively relate to others in the community. ***Indicate below at what time you think your agency will be ready to become involved in community-wide planning and why.***

Developing a Communitywide Plan of Action

Thinking through the questions posed in the previous exercise has given you an opportunity to assess your own community and your role in it. But as stated previously in this manual, things often fail to happen because people stop at the conceptualization stage instead of developing well-thought-out plans of action. ***Use the abstract thinking you just completed as a basis for developing a plan regarding what action should be taken to facilitate community planning.*** Even though you may not be ready now to implement the plan, go ahead and ***specify what needs to be done, by whom, when, where, and how.*** Then you will have this plan available when you are ready to begin implementation.

1. *Listing community strengths and needs.* ***Follow the model for program planning and evaluation presented in this manual by first listing below the strengths and needs of your community.*** These, of course, correspond to the "priority needs" concept presented in the chapter and may include some of the items you have been discussing in this group session.

Strengths	Needs
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____
_____	_____

2. *Developing goals, objectives, strategies, and evaluation measures.* Next, ***formulate one goal and several related objectives, strategies, and evaluation procedures for your community program plan.*** Since space is limited, ***record your ideas in abbreviated form on the chart on the next page.*** The numbering on the chart is somewhat arbitrary; you may have more or fewer than two objectives and four strategies related to your first goal. ***Use the note paper from the back of this manual if you need additional space.***

Community Program Planning and Evaluation

Goal	Objectives	Strategies	Evaluation
1.	1.	1.	Process: 1.
		2.	2.
			Product:
	2.	1.	Process: 1.
		2.	2.
			Product:

3. *Critiquing your plan.* ***If you wish to critique your completed community plan, refer to the following checklists*** presented earlier in this manual:

Strengths/needs list, page 4.14
Goals, page 4.15
Priority setting, page 4.19
Objectives, page 4.24
Strategies, page 5.22
Evaluation, page 7.21

Planning Beyond the Community

Now that you have explored your agency's role in community planning, think about the human service delivery system beyond your community. ***How might you participate in or contribute to planning on a state, regional, and national level?*** Take a few minutes for discussion and ***record your ideas below.***

State _____

_____

Regional _____

_____

National _____

_____

Determining the Group's Next Step

It is essential that at this time you make a decision and commitment regarding the next step your team will take. Take a few minutes to reach and record group consensus on the questions below.

Will the team meet together again? _____

Do changes in organization need to occur before the next group meeting? If so, who will be responsible for accomplishing them?

_____

_____

What will the purpose of the next meeting be? _____

_____

When will the next meeting be held (date and time)? _____

Where will it be held? _____

PPE

What will be the agenda? _____

_____

Who will be the coordinator? _____

What does each team member need to do individually to prepare for the next meeting?

_____

_____

Concluding the Training

Congratulations! You have now completed this training package. If you wish to learn more about the topics discussed, use the references given at the end of the chapters and in the appendixes as a guide to additional reading. Remember to fill in and return the appropriate form if you would like to receive continuing education units for completing this training.

Appendixes

Legislation, Litigation, and Accreditation Mandates for Evaluation A.1
Outline of a Comprehensive Program Evaluation Model B.1
Instructions for Evaluators in Role-Play Situations C.1
Resources for Grant Writers D.1
Commonly Used Abbreviations and Acronyms E.1

Appendix A

Legislation, Litigation, and Accreditation Mandates for Evaluation

Evaluation is no longer merely a desirable, but optional, component of program planning. Legislative mandates, litigation, and accreditation standards have generated a strong demand for accountability that can only be met through a comprehensive evaluation system.

Federal Legislation

Developmental Disabilities Services. The Developmental Disabilities Services and Facilities Construction Act (Public Law 91-517) and the Developmental Disabilities Assistance and Bill of Rights Act (PL 94-103), popularly known as the Developmental Disabilities (DD) Act, mandate a three-phase plan to develop and implement an evaluation system. The system has not yet been implemented, and there is some question whether under the present regulations it ever will be. But what the Act *has* done is create state DD councils and provide funding at state and federal levels for consultants to help formulate evaluation systems. Whether or not the specific plan advocated by the DD Act is implemented, the meaning of such legislation is clear: The federal government has recognized the importance of program evaluation, made some provision for its funding at federal and state levels, and insured regional and state input through the creation of state DD councils.

Education. The Education for all Handicapped Children Act of 1975 (PL 94-142) includes a general mandate to evaluate the impact of the programs authorized by the Act, and also requires that states evaluate their own efforts to meet established goals. Moreover, the Commissioner of Education must provide the states with evaluative methodology which has been developed and tested through research. This attention to total program evaluation is a welcome and novel addition to education's traditional individual assessment system.

Rehabilitation. PL 93-516 (the Rehabilitation Act of 1973 and its subsequent amendments) contains a detailed and comprehensive treatment of the program evaluation issue. Title IV of the Act deals exclusively with program evaluation; it specifies that evaluations and evaluators must be independent of the programs they examine, that local program participants must have a voice in the evaluation, and *that the results of evaluations be utilized in making decisions about the programs.* The requirement that assessment results be

used to shape future plans underscores the importance of the evaluation model presented in this manual (i.e., evaluation developed as an integral part of the program plan and implemented as an ongoing management function).

State Legislation

The acts outlined in the previous section are all implemented as federal/state programs. Thus, each state is responsible for developing a plan which outlines how that state will interpret and implement these federal laws and their accompanying regulations. For more information on your state's regulations, contact the State Developmental Disabilities Services Administration (concerning the DD Act), the Director of Special Education, State Department of Education (concerning the 1975 Education for All Handicapped Children Act), and/or the State Director of Rehabilitation (concerning the Rehabilitation Act of 1973).

Litigation

Recent litigation in the field of developmental disabilities reflects, albeit indirectly, a recognition of the need for evaluation systems to monitor service delivery. *Wyatt* v. *Stickney* (Alabama, 1972), *Welsch* v. *Dirkswager* (Minnesota, 1974) and *Horacek, et al.* v. *Exon, et al.* (Nebraska, 1973) are three cases which exemplify a growing trend in litigation concerning the handicapped. Previously, it was an accepted practice of the court to retain jurisdiction over a case after a decision. The court then reviewed the case at a later date and determined, by report of the defendant, whether the defendant had complied with the ruling. In the cases cited above, a special monitor or master was appointed by the court to oversee the implementation of its orders. In the well-known "Willowbrook" case *(New York State Association for Retarded Children* v. *Carey,* 1975) an oversight committee was appointed for that same purpose. Finally, a recent case (*NYSARC* v. *Carey,* New York, 1976) resulted in the creation of a statewide protection and advocacy system to continuously review the rehabilitation program.

These cases are a reflection of consumers' increasing demands for ongoing evaluation of newly implemented and existing programs. The growing number of class action suits suggests that rehabilitation facilities and other agencies are now more likely to come under some external review system when their services fall below the standards set for them. To avoid litigation and the possible imposition of external review, agencies must include structured evaluation as an integral part of their program plans.

Accreditation

The Commission on Accreditation of Rehabilitation Facilities (CARF) and the Accreditation Program/Services for Mentally Retarded and Other Developmentally Disabled Persons (AP/MRDD), which is a part of the Joint Commission on Accreditation of Hospitals (JCAH), have published standards for the evaluation of services and facilities. Both the 1978 CARF standards and the 1978 JCAH standards place heavy emphasis on systematic, ongoing, goal-related program evaluation. In addition, they stress the need for the utilization of evaluative research findings in the decision-making process, particularly in the determination of future services.

The Health Care Financing Administration publishes standards for Intermediate Care Services in Facilities for Mentally Retarded or Persons with Related Conditions (ICF-MR).

The most recent set of standards available (1977) offers no specific guidelines for systematic program evaluation but does require the documentation of services and periodic case review of individual program plans.

All three sets of standards stress the fact that efficient program evaluation must involve a statement of specific philosophy, goals, and objectives of the facility or program, the use of competent staff in periodic review of individuals and programs, and the utilization of review and/or research findings in subsequent planning.

Appendix B

Outline of a Comprehensive Program Evaluation Model

The theoretical model for integrated, comprehensive program evaluation outlined below has a multilevel systems orientation. One of its advantages is the attention paid to the system as a whole rather than only to specific program goals (Kiresuk, 1973; Levine, 1967). This model also has recognized the need within a program evaluation system for precisely defining research objectives and for including a feedback mechanism for interpretation and recommendations (James, 1969).

I. Definition. "Program evaluation is a systematic, continuous process of providing information about the value or worthlessness of a program for purposes of decision making."

   A. *Systematic.* Evaluations are integrated into the management effort and their effects are fed back into the system.

   B. *Continuous.* Program evaluation is part of the management structure, is ongoing, and is a permanent function of the organization.

   C. *Informative.* Data are meaningfully organized, structured, readily interpretable, and designed to facilitate decision making.

   D. *Judgmental.* Recommendations based on evaluative research include value judgments and possible alternatives or options in order to assist with decision making.

   E. *Practical.* Recommendations must be practical and assist with policy analysis and general decision making. This makes program evaluation a major tool of management.

Adapted by Paul Nemeth and Jerry D. Parham from LeRoy Spaniol, A model for program evaluation in rehabilitation. *Wisconsin Studies in Vocational Rehabilitation,* 1975, XIX(3). (NTIS No. FLD/GP 5K 5I)

II. Theoretical model

A. *Context*

1. Includes the mission statement, goals, and objectives of the program
2. Making the above explicit aids both evaluation and the attainment of those goals.

B. *Purpose*

1. Provides the focus and orientation of the evaluation effort
2. Four major categories
   a. Program justification
   b. Planning and policy analysis
   c. Organizational development
   d. Innovation and change
3. The approaches to evaluation and the role of the evaluator are related to the purpose for evaluation. Example: Purposes involving management decisions require evaluators to relate to top administrators (role), and feedback of results would be given to the top levels of administration (approach).
4. The types of decisions required by the organization will influence the planning of evaluation. They determine the information needs upon which evaluation will focus.
5. The reasons for evaluation influence the selection of programs to be evaluated. They also influence the methodology used in the evaluative research.

C. *Methodology*

1. Types of evaluation
   a. Case review. Evaluates case files in terms of goals and standards.
   b. Case flow analysis. Evaluates clients' movement through the process of treatment.
   c. Performance appraisal. Analyzes quality or quantity of employees' work.
   d. Program impact analysis. Analyzes the effects of a program on client and community.
   e. Contingency analysis. Simulates evaluation to assess probable outcome and decision-making implications.
   f. Evaluative research. Measures cause/effect relationships through the experimental method.
2. Types of variables
   a. Pre-existing conditions
      1. Present prior to a program
      2. Usually environmental variables
      3. Example: work experience of a client
   b. Input variables
      1. Characteristics or components of a program or its participants
      2. Example: resources of the client, or those available to the program to keep it going (i.e., financial support, workshop contracts)
   c. Output variables
      1. Either the energy expended, or
      2. Events or occurrences reflecting or describing a program activity
      3. Example: activities and services of a program; production

d. Outcome variables
   1. The results or effects of a program
   2. The effect of the first three types of variables

3. Types of criteria
   a. Outcome
   b. Process
   c. Adequacy
   d. Program effectiveness
   e. Cost/benefit analysis
   f. Comparison with alternative approaches
4. Tools and measures for evaluation
5. Systems for judging the meaning of results, feedback of this information to the organization, and follow-up and monitoring of implementation of decisions made

References

James, G. Evaluation in public health practice. In H. Schulberg, A. Sheldon, & F. Baker (Eds.), *Program evaluation in the health fields.* New York: Behavorial Publications, 1969.

Kiresuk, T. J. Goal attainment scaling at a community mental health service. *Evaluation,* 1973, *1,* 12-18. (Monograph)

Levine, A. S. Evaluating program effectiveness and efficiency: Rationale and description of research in progress. *Welfare in Review,* 1967, *85*(2), 1-11.

Appendix C

Instructions for Evaluators in Role-Play Situations

Evaluator's Instructions for First Role Play

Note. Do not read these instructions unless you are the evaluator for the first role play.

You will be role playing an external evaluator whose style is diametrically opposed to that advocated in this session. Begin by insisting on sitting at the head of the table, even if you have to make someone else move to vacate that chair. Inform the group that you are with the Association of Consultants in Evaluation (ACE), or use a more menacing title if you can think of one. Tell them that a year has passed since they developed their program plan and since they did not develop any evaluation measures at the outset of their planning process, their funding source has sent you to impose an evaluation procedure on them. Emphasize that the future funding level and, indeed, the very existence of their agency depends on the results of this evaluation. Then tell them (sarcastically) to relax and enjoy themselves because you are here to help them.

Begin by criticizing their mission statement (p. 2.12). Then attack the agency by commenting on the needs from the strengths/needs list (pp. 4.17-4.18). Use negative language, referring to the needs as problems, weaknesses, and liabilities. State that your evaluation data indicate that the staff members have failed to accomplish the objectives and strategies related to any of their top three priority goals (p. 4.20). Review each of the goals. Offer unfavorable comparisons with other agencies, pointing out how this agency has failed miserably where others have succeeded. Conclude by informing them that you are recommending that their program be terminated immediately and that their funding agency find more productive uses for its money.

Give them little opportunity to counter your comments. If they try to do so, interrupt them and remind them that this is an evaluation, not a debate. Use body language to reinforce your statements: Jump up out of your chair and bang your fist on the table to emphasize points you are making.

In short, your role is to be as negative as possible. Draw on any negative past experiences you have had with evaluation. This is your chance to get into the role of an intimidating, rude, unreasonable evaluator. Make other group members feel so put down that by the end of the role play they feel like sliding out under the door.

If the group makes light of this exercise and responds to you as another group member rather than as an evaluator, stay in character. Remind them that their program's, and perhaps even their agency's, survival depends on the results of this evaluation and that if they don't "shape up" they'll be sorry.

(P.S. Have a good time!)

Evaluator's Instructions for Second Role Play

Note: Do not read these instructions unless you are the evaluator for the second role play.

You will be role playing an external evaluator whose style reflects the principles for effective program evaluation presented in this session. Begin by developing rapport with the group. Sit among the group members, not at the head of the table. Inform them that since they have just finished developing their program plan to the point of strategies, you have been asked to work with them to develop some realistic, legitimate evaluation procedures.

Explain that the primary purpose of this evaluation is planning and policy analysis, although some of the data also may be used for program justification. Tell them that a year from now they will be evaluated and program recommendations will be made on the basis of the results of these evaluation procedures. If they express feelings of resistance, try to be understanding and supportive, assuring them that your goal is to help them develop evaluation procedures that will point up staff expertise and accomplishments, thus leading to recognition for their good work as well as to more effective programming.

Begin by commenting positively on their mission statement (p. 2.12) and how it reflects important principles and ideologies. Then briefly discuss their strengths/needs list (pp. 4.17-4.18), pointing out how the strengths can help overcome the needs. Encourage them to discuss items with you and clarify any misperceptions you may have.

Next, suggest that the group get down to specifics and formulate some evaluation procedures for the strategies listed on page 5.21. Observe the principles based on the awareness-to-adoption continuum. Solicit their ideas and suggestions, and contribute your own as you guide the group toward a consensus. Help them identify clear-cut advantages of the various ideas, and demonstrate the procedures, if feasible. Show how your recommendations are consistent with existing value structures, such as their mission and ideology. Try to come up with at least one evaluation procedure for each strategy listed on page 5.21 as well as an evaluation measure for the objective recorded on that page.

Once you have agreed on the procedures, clearly explain how the data will be collected. Encourage staff participation in the evaluation, and agree on their responsibilities (e.g., data collection). Whenever possible, point out that conducting the evaluation will not cost them any money.

Conclude the role play by explaining that your continuing role will be to help them interpret the data they collect; tell them that you will return in a year to do so. Respond to any questions they may have, and wish them well.

If the group makes light of this exercise and responds to you as another group member rather than as an evaluator, stay in character. Remind them of the importance of the evaluation and tell them that you need their help in order to make the evaluation both productive and fair.

In summary, your task is to be as positive as possible, demonstrating the approach to evaluation advocated in this chapter. Be careful, however, not to convert your positive approach into saccharine sweetness! The point is to make the evaluator fair and sensitive to others but not compliant to their every wish.

The five minute role play should follow the sequence outlined below. You may find it helpful to use this outline as an agenda.

1. Explain the purpose of the evaluation (planning and policy analysis, program justification.)
2. Comment positively on their mission statement (p. 2.12) and strengths/needs list (pp. 4.17-4.18).
3. Formulate evaluation procedures for the strategies and objective on page 5.21. Reserve about five minutes for steps 4 and 5, and move on to them even if you have not finished formulating evaluation procedures.
4. Explain the data collection procedures and staff's role in them.
5. Inform them that you'll return in a year to help them interpret the data. Answer their questions and sign off.

Appendix D

Resources for Grant Writers

Government Grants

Morris Associates, Inc., Governmental Affairs Consultants, Dupont Circle Building, 1346 Connecticut Avenue, NW, Suite 931, Washington, DC 20036. (202)452-0890.

Community Mental Health Center News. $30 per year. Published monthly.
Reports of current legislation regulations and grants that affect the mental health field. Emphasis on community mental health centers.

Health Systems. $105 per year. Published weekly.
Specializes in reporting on legislation, appropriations, and administrative policies affecting the delivery of health services.

Mental Health/Mentally Retarded Report. $40 per year. Published semi-monthly.
Reports of current legislation regulations and grants that affect the mental health field. Emphasis on mental health and mental retardation.

National Association of State Mental Health Program Directors, 1001 Third Street, SW, Washington, DC 20024 (202)554-7807.

Federal Funding News. $25 per year. Published periodically.
Provides updated information on legislation and regulations affecting mental health.

U.S. Government Printing Office, Washington, DC 20402.

Catalog of Federal Domestic Assistance. $18 per year.
An essential reference source. Most authoritative compendium of federal grant program information. Provides program descriptions, eligibilities, deadlines, funding levels, and contact names and phone numbers. Updated annually.

Commerce Business Daily. $80 per year, second class; $105, first class. (202)783-3239.
Daily list of government procurement invitations, contract awards, and subcontracting leads.

Federal Register. $50 per year. Published Monday through Friday.
Lists all proposed federal regulations. Provides guidelines governing grant policies, objectives, eligibilities, and descriptions of new legislation.

Adapted by G. F. England from Vernon Betourne and Gerard J. O'Brien, *Grantsmanship and Proposal Preparation Workshop.* Texas Department of Mental Health and Mental Retardation (Ed.), Austin, TX, 1977.

Grants Policy Statement. $1.30. Stock number 017-020-00058-7.
A must if applying for a federal grant. Contains lists and guidelines for all areas of grant administration.

Private Foundation Grants

The Foundation Center, 888 Seventh Avenue, New York, NY 10019. (212)489-8610.

Foundation Directory. Columbia University Press, 562 West 113th Street, New York, NY 10025. $30.
Listing of foundations by state. Accounts for 80% of foundation funding.

Foundation News. Box 783, Old Chelsea Station, New York, NY 10011. $20.
Contains feature articles on current events and trends in the foundation world. Also includes a grants index which indicates recent awards by foundation and by state.

Regional Depository Library, The Hogg Foundation for Mental Health, University of Texas, Austin, TX 78712.

Government and Private Foundation Grants

The Grantsmanship Center, 1015 West Olympic Boulevard, Los Angeles, CA 90015. (213)485-9094.

The Grantsmanship Center News. $15 per year.
Timely, accurate, informative feature articles about grants and grant writing. Analysis of public and private grant programs as well as notices of new grants available.

Marquis Who's Who, Inc., 200 East Ohio Street, Chicago, IL 60611.

Grantsmanship: Money and How to Get it. $5.
Excellent discussion of the art of grantsmanship. Covers foundation and government grant writing. Includes samples and references to other needed literature. Brief and relevant.

General Reference

Internal Revenue Service Offices

How to Apply for Recognition of Exemption for an Organization. Publication number 557. Free.
Provides details of applying for tax exempt status for nonprofit agencies. Exemption is necessary for applying to all foundations.

U.S. Government Printing Office, Washington, DC 20402.

Grants Administration Manual. $14.
Helpful if you've already received a federal grant. Full details of federal grant administration requirements.

Guide for Establishing Indirect Cost Rates,
Guide for Colleges and Universities (OASC-3),
A Guide for Nonprofit Institutions (OASC-5, Rev.),
Guide for State Government Agencies (OASC-6). $1 each.
Pamphlets that provide principles and standards for determining allowable costs of a project before applying for a government grant.

Government Organization Manual. $3.
Official federal government handbook which describes the purposes of government agencies and lists top personnel. Also lists committees, commissions, etc.

Appendix E

Commonly Used Abbreviations and Acronyms

ACE	Active Corps of Executives
ACG	Address Coding Guide
ACV	ACTION Cooperative Volunteer Program
ADP	Automatic Data Processing
A/E	Architectural/Engineering
AFDC	Aid to Families with Dependent Children
AID	Agency for International Development
AOP	Apprenticeship Outreach Program
APTD	Aid to the Permanently and Totally Disabled
ARC	Appalachian Regional Commission
ASTI	Applied Statistics Training Institute
AVTE	Adult, Vocational, and Technical Education
BAVTE	Bureau of Adult, Vocational, and Technical Education
BEH	Bureau of Education for the Handicapped
BEPD	Bureau of Educational Personnel Development
BIA	Bureau of Indian Affairs
BLS	Bureau of Labor Statistics
BOR	Bureau of Outdoor Recreation
CCI	Course Content Improvement
CCSS	Cooperative College-School Service
CFDA	Catalog of Federal Domestic Assistance
CFR	Code of Federal Regulations
CHP	Comprehensive Health Planning
CHS	Community Health Service
CLEO	Council on Legal Education Opportunity
COP	Career Opportunities Program
CPA	Certified Public Accountant
CPI	Consumer Price Index

Adapted by G. F. England from the Executive Office of the President, Office of Management and Budget, *1977 Catalog of Federal Domestic Assistance*. Washington, DC: U.S. Government Printing Office, 1977.

CRS	Community Relations Service
CSA	Community Services Administration
CSC	Civil Service Commission
CSRS	Cooperative State Research Service
DBL	Displaced Business Loans
DCPA	Defense Civil Preparedness Agency
DEA	Drug Enforcement Administration
DOT	Department of Transportation
EEOC	Equal Employment Opportunity Commission
EIDL	Economic Injury Disaster Loans
EMI	Exchange of Medical Information
EMS	Emergency Medical Services
EO	Executive Order
EPDA	Education Professions Development Act
ERDA	Energy Research and Development Administration
ERS	Economic Research Service
ES	Employment Service
ESA	Employment Standards Administration
ESEA	Elementary and Secondary Education Act
FDA	Food and Drug Administration
FDAA	Federal Disaster Assistance Administration
FHA	Federal Housing Administration
FmHA	Farmers Home Administration
FIA	Federal Insurance Administration
FMC	Federal Management Circular
FNMA	Federal National Mortgage Association ('Fannie Mae')
FNS	Food and Nutrition Service
FY	Fiscal Year
GAO	General Accounting Office
GNP	Gross National Product
GPO	Government Printing Office
GSA	General Services Administration
HEW	Department of Health, Education, and Welfare
HG	Housing Guaranty
HIP	Hospital Improvement
HIST	Hospital In-Service Training
HMO	Health Maintenance Organization
HPSL	Health Professions Student Loans
HUD	Department of Housing and Urban Development
ICC	Interstate Commerce Commission
IPA	Intergovernmental Personnel Act
IREX	International Research and Exchange Board
IRS	Internal Revenue Service
LDD	Local Development District
LEA	Local Educational Agency
LEAA	Law Enforcement Assistance Administration
LEEP	Law Enforcement Education Program

MBOC	Minority Business Opportunity Committee
MCA	Model Cities Administration
MCHS	Maternal and Child Health Service
MDTA	Manpower Development and Training Act
MEDLARS	Medical Literature Analysis and Retrieval System
NARA	Narcotic Addict Rehabilitation Act
NCHSRD	National Center for Health Services Research and Development
NCIC	National Crime Information Center
NCJISS	National Criminal Justice Information and Statistics Service
NEA	National Education Association
NEA	National Endowment for the Arts
NIAID	National Institute of Allergy and Infectious Diseases
NIDR	National Institute of Dental Research
NIE	National Institute of Education
NIEHS	National Institute of Environmental Health Sciences
NIGMS	National Institute of General Medical Services
NIH	National Institutes of Health
NIMH	National Institute of Mental Health
NINDS	National Institute of Neurological Diseases and Stroke
NLM	National Library of Medicine
NSF	National Science Foundation
NSRDS	National Standard Reference Data Systems
NSVP	National Student Volunteer Program
NSYSP	National Summer Youth Sports Program
NTIS	National Technical Information Service
OCD	Office of Child Development
OE	Office of Education
OEMA	Office of Education and Manpower Assistance
OHI	Office for Handicapped Individuals
OHMO	Office for Health Maintenance Organizations
OJT	On-the-Job Training
OLEP	Office of Law Enforcement Programs
OMB	Office of Management and Budget
OMBE	Office of Minority Business Enterprise
OSH	Occupational Safety and Health
PACE	Projects to Advance Creativity in Education
PCPFS	President's Council on Physical Fitness and Sports
PDL	Product Disaster Loans
PGP	Planning Grant Program
PHA	Public Housing Authority
PHS	Public Health Service
PPBS	Planning-Programming-Budgeting System
PUR	Program of University Research
RANN	Research Applied to National Needs
RCDA	Research Career Development Awards
RD&D	Research Development and Demonstration
RFP	Request for Proposal
RHD	Rural Housing Disaster

RMA	Regional Manpower Administration
RMP	Regional Medical Program
RSA	Rehabilitation Services Administration
RSVP	Retired Senior Volunteer Program
SCIRA	State Central Information Reception Agency
SCMR	Secretary's Committee on Mental Retardation
SCORE	Service Corps of Retired Executives
SEOG	Supplementary Educational Opportunity Grants
SEP	Student Expense Program
SF	Standard Form
SOS	Senior Opportunities and Services
SSIE	Smithsonian Science Information Exchange
SITES	Smithsonian Institution Traveling Exhibition Service
SLCD	Surplus Land for Community Development
SMSA	Standard Metropolitan Statistical Area
SPU	School Personnel Utilization
SRM	Standard Reference Materials
SRS	Social and Rehabilitation Service
SRS	Statistical Reporting Service
SSA	Social Security Administration
STRI	Smithsonian Tropical Research Institute
TEAM	Training in Expanded Auxiliary Management
TU	Technology Utilization
TVA	Tennessee Valley Authority
UMTA	Urban Mass Transportation Administration
URT	University Research and Training
USC	United States Code
USDA	United States Department of Agriculture
USTES	United States Training and Employment Service
USTS	Unites States Travel Service
UYA	University Year for Action
VA	Veterans Administration
VISTA	Volunteers in Service to America
VRA	Vocational Rehabilitation Act
WIC	Women, Infants, and Children Programs
WIN	Work Incentives Program
YCP	Youth Challenge Program
YOC	Youth Opportunity Center

Affirmation Of Compliance With Rules and Regulations
For Receiving Continuing Education Units

I, the trainee, do hereby affirm that I have complied with all rules and regulations for receiving continuing education units.

_____ _____
(signature of trainee) (date)

WE, the undersigned, do hereby attest to the fact that _____
(name of trainee)
has successfully completed all parts and requirements of the course, _____
(title of course)
_____,
which was developed by the Research and Training Center in Mental Retardation, Texas Tech University.

1st. We were notified, prior to the commencement of training, of the aforementioned trainee's intentions to take the training. Further, we have knowledge of the fact that the trainee completed, in sequence and within appropriately spaced periods of time, each of the training sessions in the aforementioned course.

2nd. We can further testify, through reviewing the work of or participating in the training with the aforementioned, that he/she attended all group sessions, completed all individual and group exercises, and participated to the fullest extent possible in all aspects of this course.

_____ _____ _____
(signature of witness) (position) (date)

_____ _____ _____
(signature of witness) (position) (date)

Additional information must be provided by the trainee on the reverse side of this page.

RESEARCH AND TRAINING CENTER IN MENTAL RETARDATION
TEXAS TECH UNIVERSITY

CONTINUING EDUCATION UNITS

APPLICATION PROCEDURES

Individuals who complete one of the programs in the series entitled, "Texas Tech Studies in Developmental Disabilities: Empirically-Based, Programmed Instructional Materials," may apply for continuing education units (CEUs) through the Research and Training Center in Mental Retardation. CEUs, which are available free of charge from the Texas Tech University Division of Continuing Education, serve as certification of completion of the training and often are useful in obtaining and/or maintaining professional accreditation.

If you plan to apply for CEUs, follow these procedures:

1. Before training begins, select two individuals to attest to the fact that you have completed training according to the rules set forth on the reverse side of this page. One of these individuals should be your executive director, another administrative officer, or your immediate supervisor; the other should be your director of staff development or a peer who will go through the training with you. Prior to the first training session, review the affidavit (on the reverse side of this page) with each of the individuals whom you have selected.
2. As training proceeds, provide each individual with a training schedule, periodic progress reports, your notebook, and, if necessary, testimony from fellow trainees.
3. After training is completed, sign the affidavit to affirm that you have complied with the rules and regulations for obtaining CEUs. Then obtain signatures from those you have asked to attest to training completion.
4. In the space below, type or print clearly your name as you wish it to appear on the CEU certificate, your social security number, affiliation, and the address to which you would like the certificate mailed.

_____
name social security number

_____
position agency

_____
street address or post office box

_____
city state zip code

5. Return the completed affidavit to:

   Research and Training Center in Mental Retardation
   Training Section
   Box 4510
   Texas Tech University
   Lubbock, TX 79409

Your application for CEUs will be processed and the CEU certificate will be sent to you in about four weeks.